

# REQUEST FOR APPLICATIONS

## Research Training Programs in Special Education CFDA Number: 84.324B

Milestone	Date	Website
Letter of Intent Due	May 19, 2016	<a href="https://iesreview.ed.gov/">https://iesreview.ed.gov/</a>
Application Package Available	May 19, 2016	<a href="http://www.grants.gov/">http://www.grants.gov/</a>
<b>Application Due</b>	<b>No later than 4:30:00pm Washington, DC time on August 4, 2016</b>	<a href="http://www.grants.gov/">http://www.grants.gov/</a>
Applicants Notified	By July 1, 2017	<a href="https://iesreview.ed.gov/">https://iesreview.ed.gov/</a>
Possible Start Dates	July 1 - September 1, 2017	

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## **PART I: OVERVIEW AND GENERAL REQUIREMENTS**

### **A. INTRODUCTION**

In this announcement, the Institute of Education Sciences (Institute) describes its Research Training Program in Special Education (Training) funded through the National Center for Special Education Research. For FY 2017, the Institute is accepting applications for the Training program under one topic: Early Career Development and Mentoring (Early Career).

The purpose of the Institute's Training program is to prepare individuals to conduct rigorous and relevant special education and early intervention research that advances knowledge within the field and addresses issues important to education policymakers and practitioners. The Early Career program seeks to build the next generation of special education and early intervention researchers.

The Institute will consider only applications that are [responsive](#) and [compliant](#) to the requirements described in this Request for Applications (RFA) and submitted on time and electronically via Grants.gov (<http://www.grants.gov>).

Separate funding announcements for research grant programs funded through the National Center for Special Education Research (<http://ies.ed.gov/ncser>) and the National Center for Education Research (<http://ies.ed.gov/ncer>) are available on the Institute's website (<http://ies.ed.gov/funding/>). An overview of the Institute's research grant programs is available at <http://ies.ed.gov/funding/overview.asp>.

This Request for Applications is organized as follows. [Part I](#) sets out the general requirements for your grant application. [Part II](#) provides further detail on the specific requirements of the Early Career program. [Part III](#) provides general information on applicant eligibility and the review process. [Part IV](#) describes how to prepare your application. [Part V](#) describes how to submit your application electronically using Grants.gov. You will also find a [Glossary](#) of important terms located at the end of this RFA. The first use of each term is hyperlinked to the Glossary.

### **B. CHANGES IN THE FY 2017 REQUEST FOR APPLICATIONS**

There have been changes to the RFA for the Research Training Programs in Special Education (84.324B) competition for FY 2017. You should carefully read the requirements listed under [Part II. Requirements](#) as well as the instructions for preparing your application (See [Part IV. Preparing Your Application](#)) to ensure that you understand and follow these changes. Major changes include the following:

- The Institute is not competing the Postdoctoral Training Program or Methods Training in FY 2017. Only the Early Career program will be competed in FY 2017.
- Language was revised to make clear that [consultants](#) may be included, in addition to mentors and co-mentors.
- You have the option of using [SciENCv](#) to create an IES Biosketch for each key person and significant contributor to include in your application. See [Part IV.D.10](#) for more information.

- Early Career awards will be made as grants, as opposed to Cooperative Agreements.

## C. GENERAL INFORMATION

The Institute's research grant competitions target research questions and key student outcomes of interest to education policymakers and practitioners. In early childhood, the primary outcomes of interest are school readiness and developmental outcomes for infants, toddlers, and preschool children with or at risk for disabilities. From kindergarten through Grade 12, the core academic outcomes of reading, writing, mathematics, and science are the central outcomes of interest, as well as social and behavioral skills that support academic learning in school, and successful transitions to employment, independent living, and postsecondary education.

The Early Career program provides support for an *integrated research and career development plan* for investigators in the early stages of their academic careers who have established an interest in special education research, with the ultimate aim of launching independent research careers focused on infants, toddlers, children, and youth with or at risk for disabilities. The award will provide support for research (including salary for protected time to conduct research) and career development that includes training under the guidance of an experienced mentor or mentors.

## D. APPLICANT REQUIREMENTS

### 1. Eligible Applicants

Eligible applicants for the Early Career program are academic institutions, such as colleges and universities, in the United States and its territories. Applicants must have the ability and capacity to conduct scientific research that is relevant to early intervention or special education in the United States or its territories.

### 2. The Principal Investigator and Authorized Organization Representative

#### *The Principal Investigator*

Your institution is responsible for identifying the PI on a grant application. For the Early Career program, the early career researcher should be the sole PI. No other PIs or co-Principal Investigators (co-PIs) may be identified for the Early Career program.

The PI will attend one meeting each year (for up to 2 days) in Washington, DC with other Institute grantees and Institute staff. The project budget should include this meeting.

#### *The Authorized Organization Representative*

The Authorized Organization Representative (AOR) for the applicant institution is the official who has the authority to legally commit the applicant to (1) accept federal funding and (2) execute the proposed project. When your application is submitted through Grants.gov, the AOR automatically signs the cover sheet of the application and in doing so, assures compliance with the Institute's policy on public access to scientific publications and data as well as other policies and regulations governing research awards (see [Part III.B Additional Award Requirements](#)).

### 3. Common Applicant Questions

- *May I submit an application if I did not submit a Letter of Intent?* Yes, but the Institute strongly encourages you to submit one. If you miss the deadline for submitting a Letter of Intent, contact the Program Officer.

- *May I apply if my academic institution is not in the United States?* No. Applicant institutions for the Training program must be academic institutions, such as colleges and universities, in the United States and its territories.
- *May I apply to do research with schools that are not in the United States or data sets from other countries?* Yes, so long as the research is relevant to education in the United States.
- *May I apply if I intend to copyright products (e.g., curriculum) developed using grant funds?* Yes. Products derived from Institute-funded grants may be copyrighted and used by the grantee for proprietary purposes, but the Department reserves a royalty-free, non-exclusive, and irrevocable right to reproduce, publish, or otherwise use such products for Federal purposes and to authorize others to do so [2 C.F.R. § 200.315(b) (2014) (<http://www.ecfr.gov/cgi-bin/text-idx?SID=114a76aaaec6398e1309d731056ee2df&node=pt2.1.200&rgn=div5#se2.1.2001315>).
- *Is there a limit on the number of times I may revise and resubmit an application?* No. Currently, there is no limit on resubmissions. Please see [Part III.C.2 Resubmissions and Multiple Submissions](#) for important information about requirements for resubmissions. Please be mindful of the requirements for graduation and postdoctoral program completion date if you are considering resubmission.
- *May I submit the same or a very similar application to more than one of the Institute's grant programs?* No. You may submit a given application only once for the FY 2017 grant competitions (i.e., you may not submit the same application or similar applications to multiple grant programs).

## **E. TECHNICAL ASSISTANCE FOR APPLICANTS**

The Institute encourages you to contact the Program Officer as you develop your application. The Program Officer can provide guidance on substantive aspects of your application and answer any questions prior to submitting an application. Program Officer contact information is listed in [Part II](#) and in [Part V.H Program Officer Contact Information](#).

The Institute asks potential applicants to submit a Letter of Intent prior to the application submission deadline. Letters of Intent are optional but strongly encouraged. If you submit a Letter of Intent, a Program Officer will contact you regarding your proposed project. Institute staff also use the information in the Letters of Intent to identify the expertise needed for the scientific peer-review panels and to secure a sufficient number of peer reviewers.

In addition, the Institute encourages you to sign up for its Funding Opportunities Webinars for advice on choosing the correct research competition, grant writing, or submitting your application. For more information regarding webinar topics, dates, and the registration process, see <http://ies.ed.gov/funding/webinars/index.asp>.

## F. READING THE REQUEST FOR APPLICATIONS

The Institute encourages both **Principal Investigators and Authorized Organization Representatives** to read this Request for Applications to learn how to prepare an application that meets three types of criteria:

1. Criteria required for an application to be sent forward for peer review (Requirements).
2. Criteria that make for a strong (competitive) application and are used by the peer reviewers (Recommendations for a Strong Application).
3. Criteria required for a highly-rated application to receive funding (Pre-Award Requirements).

Each of these criteria is discussed in more detail below.

### 1. Requirements

The Institute will examine all applications and determine whether they meet the following criteria. Applications that do not meet these criteria will not be sent forward for peer review.

- **RESPONSIVENESS** (see [Part II](#))
  - Meets general **Topic requirements**.
  - Meets **Project Narrative requirements**.
  - Meets the following **Award requirements**.

Topic	Maximum Grant Duration	Maximum Grant Award
Early Career Development and Mentoring	4 years	\$400,000

- **COMPLIANCE** (see [Part IV](#))
  - Follows **formatting and font size requirements** (see [Part IV.C](#)).
  - Follows **page limits** (see [Part IV.D](#)).
  - Includes only **allowable content** (see [Part IV.D](#)).
  - Includes all **required content** (see [Part IV.D](#)).
- **SUBMISSION** (see Parts [IV](#) and [V](#))
  - Submitted electronically via Grants.gov no later than **4:30:00 pm**, Washington, DC time, on August 4, 2016.
  - Completed using the **correct application package** downloaded from Grants.gov (see [Part IV.B](#)).



- Includes **PDF files** that are **named and formatted appropriately** and that are **attached to the proper forms** in the application package (see [Part IV.D](#) and [Part V](#)).

## **2. Recommendations for a Strong Application**

Applications that meet the required criteria discussed above will be forwarded to peer review for an evaluation of their scientific and technical merit (see [Part III.C](#)). The Institute provides recommendations to improve the quality of your application (see [Part II](#)). The peer reviewers are asked to consider these recommendations in their evaluation of your application. The Institute strongly encourages you to incorporate the recommendations into your Project Narrative and relevant appendices.

## **3. Pre-Award Requirements**

Applications that are being considered for funding based on peer review may be required to provide further information on their proposed research activities (see [Part III.B](#)) before a grant award is made. For example, you may be required to provide updated letters of agreement showing access to the [authentic education settings](#) where your work is to take place or to the [secondary data sets](#) you have proposed to analyze. In addition, you may be required to provide greater detail regarding your proposed work. Significant revisions to the project that arise from these information requests will have to be addressed within the original budget. The Institute strongly encourages applicants to carefully review all Requirements and Recommendations for a Strong Application to ensure that their applications propose high-quality work.

## PART II: PROGRAM REQUIREMENTS

### A. APPLYING TO EARLY CAREER DEVELOPMENT AND MENTORING

Program Officer: Dr. Katherine (Katie) Taylor (202-245-6716; [Katherine.Taylor@ed.gov](mailto:Katherine.Taylor@ed.gov))

#### 1. Purpose

The Early Career Development and Mentoring Research Training (Early Career) Program supports grants that prepare researchers to conduct independent rigorous and relevant early intervention and special education research addressing issues that are important to infants, toddlers, children, and youth with or at risk for disabilities, their families, special education practitioners, and policymakers, and to contribute to the advancement of knowledge and theory in special education.

The program aims to prepare scientists to collaborate with education stakeholders to develop and evaluate new products (e.g., curricula, programs, services, [interventions](#)) and instructional approaches that are grounded in a science of learning, to design and validate [assessments](#), and to address applied research problems in special education or early intervention using sophisticated statistical methods to analyze data. The Institute's goal is to prepare researchers who are able to conduct the type of research that the Institute funds and to prepare competitive proposals that address relevant special education topics and meet the methodological requirements specified for the Institute's research grant competitions.

At the end of the grant project period, an Early Career Principal Investigator will provide a description of:

- The training received over the course of the grant including descriptions of all key components discussed in the original application (e.g., research projects, professional development opportunities, opportunities to collaborate with education stakeholders, methodological workshops).
- A completed research plan, with outcomes and products relevant to the specified research goal (e.g., demonstrated understanding of the relation between [malleable factors](#) and student outcomes for Exploration projects; developed intervention with evidence of [feasibility](#) and promise for Development grants; evidence of the impact of a fully developed intervention for [Efficacy](#) projects;<sup>1</sup> validated assessment for Measurement projects).
- Your success with:
  - Developing a research program that is of use to practitioners and policymakers in the field of early intervention or special education for children with or at risk for disabilities.
  - Submitting a federal research grant to continue research developed with support of the early career award.
  - Continuing to work in the field of special education or early intervention research.

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<sup>1</sup> The Institute realizes that, in general, the cost maximums may not be sufficient for conducting rigorous efficacy trials. However, there may be some instances given characteristics of the intervention (e.g., short-term, inexpensive to implement) and research design and methods (e.g., randomization at the child level, single case research, outcomes that can be measured using existing administrative records data) where efficacy trials are possible within the cost maximums described for this competition.

## 2. Requirements and Recommendations

Applications under the Early Career Program must meet the requirements set out under **(1) Principal Investigator, (2) Mentors, (3) Focus on children with or at risk for disabilities, (4) Training Program Narrative, and (5) Awards** in order to be responsive and sent forward for scientific peer review.

In order to improve the quality of your application, the Institute offers recommendations for a strong application following the requirements. The peer reviewers are asked to consider these recommendations in their evaluation of your application. The Institute strongly encourages you to incorporate the recommendations into your Project Narrative and relevant appendices.

### a) Principal Investigator

Eligible Principal Investigators may be from any one of a variety of relevant disciplines and fields in addition to special education (e.g., general education, human development, political science, psychology, sociology, statistics) within institutions of higher education provided that the focus of their research and mentoring is in the field of early intervention or special education for children with or at risk for disabilities.

**Requirements:** In order for the application to be responsive and sent forward for peer review, the Principal Investigator **must:**

- (i) Have completed a doctoral degree or postdoctoral program no earlier than April 1, 2013 and no later than the start of the award period. Please note that the Institute will use the date on which the University granted your doctoral degree. For example, if you defended your dissertation on March 25, 2013, but your University granted the degree on April 2, 2013, you would be eligible to apply.
- (ii) Hold a tenure-track position (e.g., Assistant Professor), or research scientist position (e.g., not a visiting faculty or adjunct position), at an institution of higher education, or must have accepted an offer for such a position to begin before the start of the award. In the latter case, you must include a letter of support in Appendix D from the future home institution indicating that an offer has been made and accepted. The position must be a regular, salaried position paid by the University without a focus on training (e.g., not a postdoctoral position).

### b) Mentors

Training must be provided under the guidance of a mentor. Applicants may have co-mentors depending on their training needs and location. The term “mentors” includes both primary and co-mentors.

**Requirements:** In order to be responsive and sent forward for peer review, the application **must:**

- (i) Designate one mentor as the primary mentor.
- (ii) Include as mentors only individuals who have not served as the Principal Investigator’s primary graduate school or dissertation advisor or postdoctoral

supervisor. Although former advisors and supervisors may not serve as mentors, a faculty member who served on a dissertation committee but did not have a direct advisor-advisee relationship with the Principal Investigator is eligible to serve as a mentor. The biographical sketch for the Principal Investigator *must* include the names of the dissertation or graduate school advisor and (if relevant) the postdoctoral mentor.

- (iii) Include a mentor at the Principal Investigator's home institution. If the primary mentor is at a different institution, there must be a co-mentor at the Principal Investigator's institution.

**Recommendations for a Strong Application:** In order to address the above requirements, the Institute recommends that you include the following in your application to demonstrate the appropriateness of your mentor selection.

- If proposing multiple mentors, include mentors with a variety of areas of expertise. For example, one mentor may have expertise in the relevant content area and the other may have expertise in another aspect of your proposed research plan (e.g., statistical methods, psychology). Mentors may be from academic or nonacademic institutions (e.g., nonprofit and for-profit organizations, public and private agencies) that conduct rigorous special education or early intervention research.
- Select mentors with appropriate expertise in research with infants, toddlers, children, or youth with or at risk for disabilities, and/or their families or teachers, and strong experience in the specific topic of interest identified by you.
- Select a mentor at your home institution to guide your career development there (e.g., navigating the institution's procedures for grant submission), as well as provide additional content and/or methodological expertise.

### **c) Focus on children with or at risk for disabilities**

Research supported under the Early Career program must focus on children with or at risk for a disability.

**Requirements:** In order to be responsive and sent forward for peer review, the application **must**:

- (i) Focus on infants, toddlers, preschool children, or students from kindergarten through Grade 12 with disabilities or at risk for disabilities, and/or families, teachers, related services providers, or other instructional personnel who work with these children.
- (ii) Address [education outcomes](#) of students with or at risk for disabilities. The Institute is most interested in student [developmental outcomes](#), [school readiness](#), [academic outcomes](#), [social and behavioral competencies](#) and [functional outcomes](#) that support success in school, and the transition from high school to postsecondary education, meaningful employment, or independent living.

For the purpose of Institute's special education research programs, a student with a disability is defined in Public Law 108-446, the Individuals with Disabilities Education Improvement Act of 2004 (IDEA), as a child "(i) with mental retardation, hearing impairments (including deafness), speech or language impairments, visual impairments (including blindness), serious emotional disturbance (referred to in this title as 'emotional disturbance'), orthopedic impairments, autism, traumatic brain injury, other health impairments, or specific learning disabilities; and (ii) who, by reason thereof, needs special education and related services" (Part A, Sec. 602). An infant or toddler with a disability is defined in IDEA as, "an individual under 3 years of age who needs early intervention services because the individual (i) is experiencing developmental delays, as measured by appropriate diagnostic instruments and procedures in 1 or more of the areas of cognitive development, physical development, communication development, social or emotional development, and adaptive development; or (ii) has a diagnosed physical or mental condition that has a high probability of resulting in developmental delay" (Part C, Sec. 632).

**Recommendations for a Strong Application:** If you are focusing on children at risk for disabilities, in order to address the above requirements and demonstrate your focus, you should:

- Present evidence from research of an association between risk factors in your proposed sample and the potential identification of specific disabilities for projects studying children at risk for a disability.
- Describe your method for determining risk for disability on an individual child basis and not on general population characteristics (e.g., labeling children as "at risk for disabilities" because they are from low-income families or are English learners).
- Identify the disability that the sampled children are at risk of developing.

#### **d) Training Program Narrative**

Applications under the Early Career Program **must** include a Training Program Narrative. The **25-page** project narrative for Early Career applications **must** include five sections – **Significance, Research Plan, Career Plan, Personnel, and Resources** – and meet the requirements for each section in order to be responsive and sent forward for scientific peer review.

The narrative should clearly demonstrate the integration of your research and career plans. Please note that the research and career plans may influence one another bi-directionally, as the proposed research conducted may inform which skills need enhancement just as the training and mentoring will provide those needed skills to conduct successful research.

#### **1) Significance - The purpose of this section is to explain why the proposed research and career development plans are important.**

**Requirements:** In order to be responsive and sent forward for peer review, applications **must** describe:

- (i) Your need for further career development.

- (ii) Your research program and research questions.
- (iii) The rationale for your proposed special education research topic, selecting a topic area and goal from the table below.

Research Topic Areas	Research Goals
Autism Spectrum Disorders	Exploration
Cognition and Student Learning in Special Education	Development and
Early Intervention and Early Learning in Special Education	Innovation
Families of Children with Disabilities	Efficacy and Replication <sup>2</sup>
Mathematics and Science Education	Measurement
Professional Development for Teachers and Related Services Providers	
Reading, Writing, and Language Development	
Social and Behavioral Outcomes to Support Learning	
Special Education Policy, Finance, and Systems	
Technology for Special Education	
Transition Outcomes for Secondary Students with Disabilities	

Review these topics and goals as you plan the research portion of your training program application (see [http://ies.ed.gov/funding/ncser\\_progs.asp](http://ies.ed.gov/funding/ncser_progs.asp) for a list of topics and a link to the Special Education Research Grants Request for Applications (RFA), which provides detailed goal descriptions).

**Recommendations for a Strong Application:** In order to address the above requirements, the Institute recommends that you include the following in your Significance section to provide a compelling rationale for your proposed Early Career project.

- Describe your current levels of knowledge and skills, the proposed career development activities (mentoring and training activities) aimed at enhancing your knowledge and skills, and how these career development activities will lead to the specific knowledge and skills necessary to accomplish the proposed research activities.
- Describe your planned program of research, including the progression from prior research to the research that will occur over the award period to the line of independent research that will be developed.
- Clearly describe the specific issue or problem your work will address, including the overall importance of this issue/problem and how its resolution will contribute to the improvement of student education outcomes. Strong

<sup>2</sup> See footnote on p. 10

applications will clearly outline the importance of the issue or problem to education stakeholders, such as practitioners and policymakers.

- Provide a clear description of the research questions and/or hypotheses, theoretical and empirical rationale for the study, and the practical importance of the research questions.
- Describe current typical practice and its identified shortcomings in your area of research, and how the results of this work will inform the future development of an intervention or assessment or the future decision to evaluate an intervention.

**2) Research Plan - The purpose of this section is to describe the research aims and methodology for the proposed research. The proposed mentors should assist with the development of the Research Plan. However, please note that although the Research Plan must be included in the proposal, the Institute anticipates that there will be further development of these plans early in the award period through the guidance of the mentors.**

**The Institute expects less detail in the proposed Research Plan compared to proposals submitted to the Special Education Research Grants competition.**

**Requirements:** In order to be responsive and sent forward for peer review, applications **must** describe the following:

- (i) Your research design, sample, key outcome measures, and data analysis procedures.

**Recommendations for a Strong Application:** In order to address the above requirement, the Institute recommends that you include the following in your Research Plan section to strengthen the methodological rigor of your proposed work.

- Explain how the Career Development Plan will support the development of the research strategy as appropriate for your background.
- Describe the aims of the research project, including, as appropriate, your specific research question(s) and hypotheses that they intend to address.
- Propose a research design that is directly linked to your research questions.

**Sample**

- Describe your sample, its size, its relation to addressing the overall aims of the project (e.g., what population the sample represents), and your criteria for defining disability or risk for disability. Although the focus of your research must be on students with or at risk for disabilities, students without disabilities may be included in your sample (e.g., an inclusive classroom) if appropriate for your research questions. For example, students without disabilities may be part of the comparison population or part of your research sample for assessment development and validation.

#### Setting

- Describe the [authentic education setting](#) where your research will take place (e.g., child care, homes, classrooms, schools, districts).

#### Measures

- Describe the key variables or measures you will most likely use to assess variables of interest, including child and student outcomes, and include information about their [reliability](#) and [validity](#). If extant data will be used, the data set(s) should be named and described.

#### Data Analysis

- Provide a level of detail in the data analysis plan commensurate with a training project. For example, if your Career Development Plan includes additional instruction on and experience with the use of Structural Equation Modeling (SEM) to analyze the data, the Institute would not expect a detailed explanation of this analysis strategy (SEM) and the assessment of possible models. Similarly, if your Career Development Plan includes training in single-case experimental design, the Institute would not expect a detailed description of the design requirements and analytic approach.
- Explain how your proposed analyses address the proposed research questions.
- If extant data sets will be used, describe the relevant measures of interest that will be used for analyses. If applicable, note whether a restricted use license is held or if you plan to obtain one.

#### Timeline

- Provide a timeline for each step in your project including, where applicable, such actions as sample selection and assignment, the [development process](#), validation activities, data collection, data analysis, and dissemination. The timeline may be discussed in the project narrative and/or presented in [Appendix E](#).

### **3) Career Development Plan - The purpose of this section is to describe the process for mentoring and additional training. The Career Development Plan should not focus on activities that are expected of any early career researcher, such as attending and presenting at conferences. Training plans must go beyond the typical career development activities expected of every new scientist/assistant professor.**

**Requirements:** In order to be responsive and sent forward for peer review, applications must describe the following:

- (i) A training plan, including the process for mentoring and educational opportunities to extend your expertise.

**Recommendations for a Strong Application:** In order to address the above requirements, the Institute recommends that you include the following in your Career Development Plan.



- Describe how aspects of your Career Development Plan and the timing of your Career Development Plan activities are integrated with the Research Plan. A timeline may be discussed in the project narrative and/or presented in Appendix E.
- Describe your training goals and how the activities and mentors will help you reach these goals.
- Describe, for all mentors, their expertise and how it is relevant to your program of research. Also, specify how the mentors will guide you through the process of refining and implementing your research plan and help you progress toward independent research.
- Describe how your mentors will aid you in acquiring new expertise and guide your development as a scholar. Mentoring activities may include regular meetings (primary mentors are expected to communicate with Principal Investigators at least once per month), review of your Career Development Plan, and any additional guidance that will be useful for your development as a scientist. Additional guidance may include reviews of manuscripts for publication, development of grant applications, and development of a plan to disseminate results to a wide range of audiences (e.g., through publications, websites, presentations to key stakeholders).
- Describe a plan for coordinating mentoring activities among the mentors if there are co-mentors.
- Describe your planned campus-based training activities and opportunities, courses, or workshops external to your home institution (e.g., a summer institute, grant-writing workshop, advanced statistical course).

**4) Personnel - The purpose of this section is to describe the relevant expertise, the project responsibilities, and the time commitments of you and your mentor(s).**

**Requirements:** In order to be responsive and sent forward for peer review, applications **must** describe the following:

- (i) The expertise of your research team, including mentors, at both the primary applicant institution and any subaward institutions.

**Recommendations for a Strong Application:** In order to address the above requirement, the Institute recommends that you include the following in your Personnel section to demonstrate that you and your mentors possess the appropriate training and experience and will commit sufficient time to competently implement the proposed research and career plans.

- Describe your qualifications to be the Principal Investigator and the qualifications of your mentors, specifying your accomplishments, your mentors' proposed roles in training, and how the research expertise reflects the content and methodological foci of the Institute.
- Describe your mentors' prior experiences with mentoring early career researchers (including faculty or postdoctoral fellows).
- Specify the time commitments of the mentors to indicate their ability to provide guidance to you, the Principal Investigator. Your mentors' time commitments should be commensurate with the mentoring activities. The Institute anticipates that your mentors' combined time commitment to the project will be at least 5% per year. The intended time commitment to this project should be specified as a percentage of calendar year effort.
- Summarize the special education research projects conducted by the proposed mentors and include:
  - the role of each mentor in the project (e.g., principal investigator, key personnel, consultant);
  - a brief description of the research project, including methods used;
  - the funding source, if applicable; and
  - the duration of project.
- Describe consultants (if applicable), including their proposed roles, qualifications, and time commitments.

**5) Resources - The purpose of this section is to describe the institutional capacity to complete a project of this size and complexity and your access to the resources needed to successfully complete this project.**

**Requirements:** In order to be responsive and sent forward for peer review, applications **must** describe the resources to:

- (i) Conduct the project.
- (ii) Disseminate project results.

**Recommendations for a Strong Application:** In order to address the above requirements, the Institute recommends that you include the following in your Resources section.

- Describe your institution's capacity and experience to manage a project with both a research and training component.
- Describe any resources provided by your institution that are relevant for the successful completion of the project (e.g., "start-up packages" or other resources for new faculty).

- Describe your access to resources available at your mentor's institution, if different from your own, to support your research, your training, or both.
- Describe your plans for acquiring any resources that are not currently accessible, will require significant expenditures, and are necessary for the successful completion of the project (e.g., equipment, test materials, curriculum or training materials).
- Explain how you will have time to conduct your proposed research and accomplish your training plan given your other responsibilities as a faculty member. The Institute anticipates that you should allocate a minimum of 20% and maximum of 50% of academic year time to manage your research training project, with the specific amount depending on your course load and other sources of salary funding.
- Describe your dissemination plan, including your capacity to disseminate information about the findings from your research (e.g., your university may have a communications office that can assist with disseminating the results of your project, or you may have members of your research team who have experience disseminating research to nontechnical audiences), the audiences that you expect will be most likely to benefit from your research, and the ways you plan to reach these audiences through the major publications, presentations, and products you expect from your project. Be cognizant of the particular research goal of your project and how this affects the type and use of your findings (e.g., findings from Exploration projects are likely to be most useful in pointing out areas for further attention rather than providing proof or strong evidence for taking specific actions).

**6) Appendices - Required and recommended Appendix materials to support the Training Program Narrative are described below. Please also see the discussion of each Appendix provided in [Part IV](#) for more information.**

*Appendix A (Required for Resubmissions):*

- If your application is a resubmission, you must include Appendix A. Appendix A must include your response to the previous reviewers using no more than 3 pages.

*Appendix B (Required):*

- A summary table of ongoing (and recently completed) special education research projects conducted by you and the mentor(s).

*Appendix C (Required):*

- Letters of support or agreement from the mentor(s), including the primary mentor and any additional co-mentors. The letter(s) should include enough information to make it clear that the author of the letter understands the nature

of the commitment of time, resources, and mentoring activities that will be required if the application is funded.

*Appendix D (Required):*

- Letters of agreement from your institution. The letter should include enough information to make it clear that the author of the letter understands and agrees to the nature of the commitment of time, space, and resources that will be required if the application is funded. If you have not yet started your faculty position by the due date of the application, you must ensure that the letter of support from your future institution clearly indicates that there has been an offer, an offer acceptance, and an agreed upon start date.
- Letters of agreement from partners (e.g., schools and districts), data sources (e.g., state agencies holding [administrative data](#)), and consultants. Ensure that the letters reproduce well so that reviewers can easily read them. Do not reduce the document size of the letters if reproducing. See [Part V.D.4. Attaching Files](#) for guidance regarding the size of file attachments. Letters of agreement should include enough information to make it clear that the author of the letter understands the nature of the commitment of time, space, and resources to the research project that will be required if the application is funded. A common reason for projects to fail is the loss of participating schools and districts. Letters of agreement regarding the provision of data should make it clear that the author of the letter will provide the data described in the application for use in the proposed research and in time to meet the proposed schedule.

*Appendix E (Optional):*

- Appendix E is not required but can be used to include examples of training materials and tables/charts that support the Program Narrative (e.g., project timeline and a table of training activities, mentoring activities, and seminars).
- If you are proposing to study, develop, evaluate, or validate an intervention or assessment, you may include examples of curriculum material, computer screen shots, and/or assessment items used in the intervention or assessment to be studied, developed, evaluated, or validated.

**e) Awards**

**Maximum number of awards:**

The Institute intends to make no more than 5 awards for FY 2017.

An Early Career project **must** conform to the following limits on duration and cost as well as the additional parameters and limits described below.

A project proposing a project length and/or budget that exceed the following duration and cost maximums will be deemed nonresponsive and will not be sent forward for scientific peer review.

### Duration Maximums:

- **The maximum duration of an Early Career award is 4 years.** An application proposing a project length greater than 4 years will be deemed nonresponsive to the Request for Applications and will not be accepted for review. The length of the Early Career award may vary and should reflect the nature of the research and training.

### Cost Maximums:

- **The maximum award for an Early Career award is \$400,000 (total cost = direct + indirect).** An application proposing a budget higher than the maximum award will be deemed nonresponsive to the Request for Applications and will not be accepted for review. Costs may vary due to the scope of the research project and the extent of the training activities. The budget should reflect the nature of the research and training.

### f) Additional Parameters and Limits:

The following requirements for Early Career applications will not be used in determining responsiveness to the RFA, but applications recommended for funding will be required to adjust their plans and budgets, if necessary, to meet them before receiving grant funds.

- The Principal Investigator must:
  - Be a citizen or permanent resident of the United States, and
  - Not have previously served as a Principal Investigator or co-Principal Investigator on a research grant from the Institute.
- Funds should be used for the costs of conducting the proposed research and executing the career development plan. This may include such costs as research and administrative staff salary, research supplies and equipment, participant compensation, local travel for data collection, and registration for training workshops or institutes. A portion of these funds **must also be allocated for travel for the Principal Investigator to attend one Institute of Education Sciences meeting each year (for up to 2 days) in Washington, DC.**
- The budget may include:
  - Up to 50% of your academic year salary to be used for academic year support and/or summer salary.
  - **Up to \$3000 per year for your mentors.** If there are co-mentors, this maximum allowable sum must be divided among all the mentors. Institutions may have different ways for allocating \$3000 across mentors. Mentors may be compensated using honoraria, salary including fringe benefits, or cost sharing or in-kind contributions. Regardless of compensation method used by your institution, the Federal government contribution cannot exceed \$3000. While in-kind contributions and cost sharing are allowed, they do not increase the competitiveness of the application.
- Funds may be requested for the following travel activities:
  - Travel for you or your mentor to meet when you are not at the same institution.

- Travel and registration for the Principal Investigator to participate in professional research conferences.
- Travel and registration for you to attend specialized training workshops available through other entities (e.g., summer institutes in methodology or statistical analysis).
- Grant funds must not be used for the following:
  - Facility construction, renovation, or maintenance.
  - Support for graduate students beyond their direct work on the grant. For example, grant funds should not be used to support graduate student research or travel to conferences.
  - Mentors' research.

## **PART III: COMPETITION REGULATIONS AND REVIEW CRITERIA**

### **A. FUNDING MECHANISMS AND RESTRICTIONS**

#### **1. Mechanism of Support**

The Institute intends to award grants pursuant to this Request for Applications.

#### **2. Funding Available**

Although the Institute intends to support the training as described in this announcement, all awards pursuant to this Request for Applications are contingent upon the availability of funds and the receipt of meritorious applications. The Institute makes its awards to the highest quality applications, as determined through scientific peer review, regardless of topic. The size of Early Career awards depends on the scope of work. The maximum duration of an Early Career award is **4 years** and the maximum award is **\$400,000** (total cost = direct + indirect).

**If you request a project length longer than the maximum or a budget higher than the maximum, your application will be deemed nonresponsive and will not be reviewed.**

#### **3. Special Considerations for Budget Expenses**

##### *Indirect Cost Rate*

U.S. Department of Education policy (34 CFR 75.562 (c)(2)) limits indirect cost reimbursement on a training grant to the recipient's actual indirect costs, as determined by its negotiated indirect cost rate agreement, or 8 percent of a modified total direct cost (MTDC) base, whichever amount is less. See [Part IV.D.](#) for more information.

Questions about indirect cost rates should be directed to the U.S. Department of Education's Indirect Cost Group <http://www2.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>.

Institutions, both primary grantees and subawardees, not located in the territorial U.S. cannot charge indirect costs.

##### *Meetings and Conferences*

If you are requesting funds to cover expenses for hosting meetings or conferences, please note that there are statutory and regulatory requirements in determining whether costs are reasonable and necessary. Please refer to OMB's Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance), 2 CFR, [§200.432 Conferences](#).

In particular, federal grant funds cannot be used to pay for alcoholic beverages or entertainment, which includes costs for amusement, diversion, and social activities. In general, federal funds may not be used to pay for food. A grantee hosting a meeting or conference may not use grant funds to pay for food for conference attendees unless doing so is necessary to accomplish legitimate meeting or conference business. You may request funds to cover expenses for working meetings (e.g., working lunches); however, the Institute will determine whether these costs are allowable in keeping with the Uniform Guidance Cost Principles.

Grantees are responsible for the proper use of their grant awards and may have to repay funds to the Department if they violate the rules for meeting- and conference-related expenses or other disallowed expenditures.

#### **4. Program Authority**

20 U.S.C. 9501 et seq., the “Education Sciences Reform Act of 2002,” Title I of Public Law 107-279, November 5, 2002. This program is not subject to the intergovernmental review requirements of Executive Order 12372.

#### **5. Applicable Regulations**

Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) codified at CFR Part 200. The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 77, 81, 82, 84, 86 (part 86 applies only to institutions of higher education), 97, 98, and 99. In addition 34 CFR part 75 is applicable, except for the provisions in 34 CFR 75.100, 75.101(b), 75.102, 75.103, 75.105, 75.109(a), 75.200, 75.201, 75.209, 75.210, 75.211, 75.217, 75.219, 75.220, 75.221, 75.222, and 75.230.

### **B. ADDITIONAL AWARD REQUIREMENTS**

#### **1. Public Availability of Results**

Recipients of awards are expected to publish or otherwise make publicly available the results of the work supported through this program. Institute-funded investigators must submit final peer-reviewed manuscripts resulting from research supported in whole or in part by the Institute to the Educational Resources Information Center (ERIC, <http://eric.ed.gov>) upon acceptance for publication. An author’s final manuscript is defined as the final version accepted for journal publication and includes all graphics and supplemental materials that are associated with the article. The Institute will make the manuscript available to the public through ERIC no later than 12 months after the official date of publication. Investigators and their institutions are responsible for ensuring that any publishing or copyright agreements concerning submitted articles fully comply with this requirement.

#### **2. Special Conditions on Grants**

The Institute may impose special conditions on a grant pertinent to the proper implementation of key aspects of the proposed research training plan or if the grantee is not financially stable, has a history of unsatisfactory performance, has an unsatisfactory financial or other management system, has not fulfilled the conditions of a prior grant, or is otherwise not responsible.

#### **3. Demonstrating Access to Data and Authentic Education Settings**

The research you propose to do may likely require that you have (or will obtain) access to authentic education settings (e.g., classrooms, schools, districts), secondary data sets, or studies currently under way. In such cases, you will need to provide evidence that you have access to these resources prior to receiving funding. Whenever possible, include letters of agreement in Appendix D from those who have responsibility for or access to the data or settings you wish to incorporate when you submit your application. Even in circumstances where you have included such letters with your application, **the Institute may require additional supporting evidence prior to the release of funds.** If you cannot provide such documentation, the Institute may not award the grant or may withhold funds.



You will need supporting evidence of partnership or access if you are:

- *Conducting research in or with authentic education settings* - If your application is being considered for funding based on scientific merit scores from the peer-review panel and your research relies on access to authentic education settings (e.g., schools), you will need to provide documentation that you have access to the necessary settings in order to receive the grant. This means that if you do not have permission to conduct the proposed project in the necessary number of settings at the time of application, you will need to provide documentation to the Institute indicating that you have successfully recruited the necessary number of settings for the proposed research before the full first-year costs will be awarded. If you recruited sufficient numbers of settings prior to the application, the Institute may ask you to provide documentation that the settings originally recruited for the application are still willing to partner in the research.
- *Using secondary data sets* - If your application is being considered for funding based on scientific merit scores from the peer-review panel and your research relies on access to secondary data sets (such as federally-collected data sets, state or district administrative data, or data collected by you or other researchers), you will need to provide documentation that you have access to the necessary data sets in order to receive the grant. This means that if you do not have permission to use the proposed data sets at the time of application, you must provide documentation to the Institute from the entity controlling the data set(s) before the grant will be awarded. This documentation must indicate that you have permission to use the data for the proposed research for the time period discussed in the application. If you obtained permission to use a proposed data set prior to submitting your application, the Institute may ask you to provide updated documentation indicating that you still have permission to use the data set to conduct the proposed research during the project period.
- *Building off of existing studies* - You may propose studies that piggyback onto an ongoing study (i.e., that require access to subjects and data from another study). In such cases, the Principal Investigator of the existing study should be one of the members of the research team applying for the grant to conduct the new project.

In addition to obtaining evidence of access, the Institute strongly advises applicants to establish a written agreement, within 3 months of receipt of an award, among all key collaborators and their institutions (e.g., Principal Investigator and mentors) regarding roles, responsibilities, access to data, publication rights, and decision-making procedures.

## **C. OVERVIEW OF APPLICATION AND PEER REVIEW PROCESS**

### **1. Submitting a Letter of Intent**

The Institute strongly encourages potential applicants to submit a Letter of Intent by May 19, 2016. Letters of Intent are optional, non-binding, and not used in the peer review of a subsequent application. If you submit a Letter of Intent, the Program Officer will contact you regarding your proposed project to offer assistance. The Institute also uses the Letter of Intent to identify the expertise needed for the scientific peer-review panels and to secure a sufficient number of reviewers to handle the anticipated number of applications. Should you miss the deadline for submitting a Letter of Intent, you still may submit an application. If you miss the

Letter of Intent deadline, the Institute asks that you inform the Program Officer of your intention to submit an application.

Letters of Intent are submitted online at (<https://iesreview.ed.gov>). **Select the Letter of Intent form for the Early Career topic.** The online submission form contains fields for each of the seven content areas listed below. Use these fields to provide the requested information. The project description should be single-spaced and should not exceed one page (about 3,500 characters).

- Descriptive title
- Topic that you will address
- Brief description of your training program
- Name, institutional affiliation, address, telephone number and e-mail address of the Principal Investigator
- Name and institutional affiliation of mentors and any other key collaborators
- Duration of the proposed project
- Estimated total budget request (maximum budget is \$400,000)

## **2. Resubmissions and Multiple Submissions**

If you intend to revise and resubmit an application that was submitted to a previous Institute competition but that was not funded, you must indicate on the [SF-424 Form of the Application Package \(Items 4a and 8\) \(see Part V.E.1\)](#) that the FY 2017 application is a resubmission (Item 8) and include the application number of the previous application (an 11-character alphanumeric identifier beginning "R324" entered in Item 4a). Prior reviews will be sent to this year's reviewers along with the resubmitted application. You must describe your response to the prior reviews using [Appendix A \(see Part IV.D.3\)](#). Revised and resubmitted applications will be reviewed according to this FY 2017 Request for Applications.

If you submitted a somewhat similar application in the past and did not receive an award but are submitting the current application as a new application, you should indicate on the application form that the FY 2017 application is a new application. You must provide a rationale explaining why the FY 2017 application should be considered a new application rather than a revision using [Appendix A \(see Part IV.D.3\)](#). Without such an explanation, if the Institute determines that the current application is similar to a previously unfunded application, the Institute may send the reviews of the prior unfunded application to this year's reviewers along with the current application.

## **3. Application Processing**

**Applications must be submitted electronically and received no later than 4:30:00 p.m., Washington, DC time on August 4, 2016.** Grant applications are submitted through the Internet using the software provided on the Grants.gov website: <http://www.grants.gov/>. You must follow the application procedures and submission requirements described in [Part IV Preparing Your Application](#) and [Part V Submitting Your Application](#) and the instructions in the User Guides provided by Grants.gov (<http://www.grants.gov/web/grants/applicants/applicant-resources.html>).

After receiving the applications, Institute staff will review each application for compliance and responsiveness to this Request for Applications. Applications that do not address specific requirements of this request will not be considered further.

Once you formally submit an application, Institute staff will not comment on its status until the award decisions are announced (no later than July 1, 2017) except with respect to issues of compliance and responsiveness. This communication will come through the Applicant Notification System (<https://iesreview.ed.gov/>).

**Once an application has been submitted and the application deadline has passed, you may not submit additional materials for inclusion with your application.**

#### **4. Peer Review Process**

The Institute will forward all applications that are compliant and responsive to this Request for Applications to be evaluated for scientific and technical merit. Scientific reviews are conducted in accordance with the review criteria stated below and the review procedures posted on the Institute's website, [http://ies.ed.gov/director/sro/peer\\_review/application\\_review.asp](http://ies.ed.gov/director/sro/peer_review/application_review.asp), by a panel of scientists who have substantive and methodological expertise appropriate to the program of research and Request for Applications.

Each compliant and responsive application is assigned to one of the Institute's scientific review panels. At least two primary reviewers will complete written evaluations of the application, identifying strengths and weaknesses related to each of the review criteria. Primary reviewers will independently assign a score for each criterion, as well as an overall score, for each application they review. Based on the overall scores assigned by primary reviewers, the Institute calculates an average overall score for each application and prepares a preliminary rank order of applications before the full peer-review panel convenes to complete the review of applications.

The full panel will consider and score only those applications deemed to be the most competitive and to have the highest merit, as reflected by the preliminary rank order. A panel member may nominate for consideration by the full panel any application that he or she believes merits full panel review but that would not have been included in the full panel meeting based on its preliminary rank order.

#### **5. Review Criteria for Scientific Merit**

The purpose of Institute-supported research is to contribute to solving education problems and to provide reliable information about the education practices that support learning and improve academic achievement and access to education for all students. The specific purpose of Institute-supported training programs is to support this contribution by furthering the training of special education and early intervention researchers. In doing so, the Institute aims to increase the quality, accessibility, use, and relevance of special education research.

##### **a) Significance**

Does the applicant provide a compelling rationale for the significance of the research and career development plans?

##### **b) Research Plan**

Does the applicant provide a Research Plan that is integrated with the Career Development Plan and will support the successful implementation of the proposed research?

**c) Career Development Plan**

Does the applicant provide a Career Development Plan that includes mentoring and additional training, and will support his or her ability to conduct independent rigorous and relevant early intervention or special education research?

**d) Personnel**

Does the description of the personnel make it apparent that the Principal Investigator, the mentor(s), and other key personnel possess appropriate training and experience and will commit sufficient time to competently implement the proposed research and career development plans?

**e) Resources**

Does the applicant have the facilities, equipment, supplies, and other resources required to support the proposed activities? Do the commitments of each partner show support for the implementation and success of the project?

**6. Award Decisions**

The following will be considered in making award decisions for responsive and compliant applications:

- Scientific merit as determined by peer review,
- Performance and use of funds under a previous Federal award,
- Contribution to the overall program of research described in this Request for Applications,
- Availability of funds.

## **PART IV: PREPARING YOUR APPLICATION**

### **A. OVERVIEW**

The application contents – individual forms and their PDF attachments – represent the body of an application to the Institute. All applications for Institute funding must be self-contained. As an example, reviewers are under no obligation to view an internet website if you include the site address (URL) in the application. In addition, **you may not submit additional materials directly to the Institute after the application package is submitted.**

### **B. GRANT APPLICATION PACKAGE**

The Application Package for this competition (84-324B2017) provides all of the forms that you must complete and submit. The application form approved for use in the competition specified in this Request for Applications is the government-wide SF-424 Research and Related (R&R) Form (OMB Number 4040-0001).

#### **1. Date Application Package is Available on Grants.gov**

The Application Package will be available on <http://www.grants.gov/> by May 19, 2016.

#### **2. How to Download the Correct Application Package**

To find the correct downloadable Application Package, you must first search by the CFDA number for this research competition without the alpha suffix. To submit an application to the Research Training Program in Special Education, you must search on: CFDA 84.324.

The Grants.gov search on CFDA 84.324 will yield more than one Application Package. For the Research Training Program in Special Education, you must download the Application Package marked:

- Research Training Program in Special Education, CFDA 84.324B

You must download the Application Package that is designated for this grant competition. If you use a different Application Package, even if it is for another Institute competition, the application will be submitted to the wrong competition. Applications submitted using the incorrect application package run the risk of not being reviewed according to the requirements and recommendations for the Research Training Program in Special Education competition.

See [Part V: Submitting Your Application](#), for a complete description of the forms that make up the application package and directions for filling out these forms.

### **C. GENERAL FORMATTING**

For a complete application, you must submit the following as individual attachments to the R&R forms that are contained in the application package for this competition in Adobe Portable Document Format (PDF):

- Training Program Summary/Abstract;
- Project Narrative and, if applicable, Appendix A, Appendix B, Appendix C, Appendix D, and Appendix E (all together as one PDF file);
- Bibliography and References Cited;

- Research on Human Subjects Narrative (i.e., Exempt or Non-Exempt Research Narrative);
- A Biographical Sketch for each senior/key person, including Current & Pending Support for Senior/Key Personnel;
- A Narrative Budget Justification for the total Project budget; and
- Subaward Budget(s) that has (have) been extracted from the R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form, if applicable.

Information about the formatting requirements for all of these documents except the [Subaward budget attachment \(see Part V.E.6\)](#) is provided below.

### **1. Page and Margin Specifications**

For all Institute research grant applications, a “page” is 8.5 in. x 11 in., on one side only, with 1 inch margins at the top, bottom, and both sides.

### **2. Page Numbering**

Add page numbers using the header or footer function, and place them at the bottom or upper right corner for ease of reading.

### **3. Spacing**

Text must be single spaced.

### **4. Type Size (Font Size)**

Type must conform to the following three requirements:

- The height of the letters must not be smaller than a type size of 12 point.
- Type density, including characters and spaces, must be no more than 15 characters per inch (cpi). For proportional spacing, the average for any representative section of text must not exceed 15 cpi.
- Type size must yield no more than six lines of type within a vertical inch.

You should check the type size using a standard device for measuring type size, rather than relying on the font selected for a particular word processing/printer combination. The type size used must conform to all three requirements. Small type size makes it difficult for reviewers to read the application; consequently, the use of small type will be grounds for the Institute to return the application without peer review.

Adherence to type size and line spacing requirements is necessary so that no applicant will have an unfair advantage, by using small type or by providing more text in their applications. These requirements apply to the PDF file as submitted. As a practical matter, if you use a 12-point Times New Roman font without compressing, kerning, condensing or other alterations, the application will typically meet these requirements.

### **5. Graphs, Diagrams, and Tables**

You are encouraged to use black and white in graphs, diagrams, tables, and charts. If color is used, you should ensure that the material reproduces well when printed or photocopied in black and white.

Text in figures, charts, and tables, including legends, may be in a type size smaller than 12 point but must be readily legible.

## **D. PDF ATTACHMENTS**

### **1. Training Program Summary/Abstract**

#### **a) Submission**

You must submit the training program summary/abstract as a separate PDF attachment at Item 7 of the Other Project Information form (see [Part V.E.4: Research & Related Other Project Information](#)).

#### **b) Page limitations**

The training program summary/abstract is limited to one single-spaced page.

#### **c) Content**

The project summary/abstract should include the following:

- **Title** of the training program
- The RFA and the **topic** to which you are applying (i.e., *Research Training Programs in Special Education (84.324B)*, *Early Career Development and Mentoring*)
- Name and Affiliation of the Principal Investigator
- A brief description of the purpose that addresses the research and career development plans; a brief description of the research plan including research questions/hypotheses, sample, intervention (if applicable), measures, and data analysis plan; and a brief description of the proposed training and mentoring activities

Please see [http://ies.ed.gov/funding/ncser\\_rfas/ncser\\_earlycareer.asp](http://ies.ed.gov/funding/ncser_rfas/ncser_earlycareer.asp) for examples of the content to be included in your training program summary/abstract.

### **2. Training Program Narrative**

#### **a) Submission**

You must submit the project narrative as a separate PDF attachment at Item 8 of the Other Project Information form (see [Part V.E.4: Research & Related Other Project Information](#)).

#### **b) Page limitations**

The project narrative is limited to 25 pages. **If the narrative exceeds this page limit, the Institute will remove any pages after the 25<sup>th</sup> page of the narrative.**

To help reviewers locate information and conduct the highest quality review, you should write a concise and easy to read narrative, with pages numbered consecutively using the header or footer function to place numbers at the top or bottom right-hand corner.

#### **c) Format for citing references in text**

To ensure that all applicants have the same amount of available space in which to describe their projects in the project narrative, use the author-date style of citation (e.g., James, 2004), such as that described in the Publication Manual of the American Psychological Association, 6th Ed. (American Psychological Association, 2009).

## **d) Content**

Your project narrative **must** include five sections in order to be compliant with the requirements of this Request for Applications: (1) Significance, (2) Research Plan, (3) Career Plan, (4) Personnel, and (5) Resources.

Information to be included in each of these sections is detailed in [Part II](#). **The information you include in each of these sections will provide the majority of the information on which reviewers will evaluate the application.**

## **3. Appendix A (Required for Resubmissions)**

### **a) Submission**

If your application is a resubmission you must include Appendix A at the end of the project narrative. If your application is one that you consider to be new but that is similar to a previous application, you should include Appendix A. Include Appendix A after the project narrative as part of the same PDF attachment at Item 8 of the Other Project Information form (see [Part V.E.4: Research & Related Other Project Information](#)).

### **b) Page limitations**

Appendix A is limited to 3 pages.

### **c) Content**

**Appendix A is required if you are resubmitting an application.** Use Appendix A to describe how the revised application is responsive to prior reviewer comments.

If you have submitted a somewhat similar application in the past but are submitting the current application as a new application, you should use Appendix A to provide a rationale explaining why the current application should be considered a “new” application rather than a “resubmitted” application.

These are the only materials that may be included in Appendix A: all other materials will be removed prior to the review of the application.

## **4. Appendix B (Required)**

### **a) Submission**

Appendix B must be included at the end of the project narrative, following Appendix A (if included), and submitted as part of the same PDF attachment at Item 8 of the Other Project Information form (see [Part V.E.4: Research & Related Other Project Information](#)).

### **b) Page limitations**

Appendix B is limited to 15 pages.

### **c) Content**

The following are the only materials that may be included in Appendix B: all other materials will be removed prior to the review of the application.

- A summary table of ongoing (and recently completed) special education research projects conducted by you and the mentor(s).



## **5. Appendix C (Required)**

### **a) Submission**

Appendix C must be included at the end of the project narrative, following Appendix B and submitted as part of the same PDF attachment as Item 8 of the Other Project Information form (see [Part V.E.4: Research & Related Other Project Information](#)).

### **b) Page limitations**

Appendix C does not have a page limit.

### **c) Content**

The following are the only materials that may be included in Appendix C: all other materials will be removed prior to the review of the application.

- Letters of support or agreement from the mentor(s), including the primary mentor and any additional co-mentors. The letter(s) should include enough information to make it clear that the author of the letter understands the nature of the commitment of time, resources, and mentoring activities that will be required if the application is funded.

## **6. Appendix D (Required)**

### **a) Submission**

You must include Appendix D at the end of the project narrative, following Appendix C and submit it as part of the same PDF attachment at Item 8 of the Other Project Information form (see [Part V.E.4: Research & Related Other Project Information](#)).

### **b) Page limitations**

Appendix D does not have a page limit.

### **c) Content**

The following are the only materials that may be included in Appendix D: all other materials will be removed prior to the review of the application.

- Letter of agreement from your institution. The letter should include enough information to make it clear that the author of the letter understands and agrees to the nature of the commitment of time, space, and resources that will be required if the application is funded. If you have not yet started your faculty position by the due date of the application, you must ensure that the letter of support from your future institution clearly indicates that there has been an offer, an offer acceptance, and an agreed upon start date.
- Letters of agreement from partners (e.g., schools and districts), data sources (e.g., state agencies holding administrative data), and consultants. Ensure that the letters reproduce well so that reviewers can easily read them. Do not reduce the size of the letters. See [Part V.D.4. Attaching Files](#) for guidance regarding the size of file attachments. Letters of agreement should include enough information to make it clear that the author of the letter understands the nature of the commitment of time, space, and resources to the research project that will be required if the application is funded. A common reason for projects to fail is loss of participating schools and districts. Letters of

agreement regarding the provision of data should make it clear that the author of the letter will provide the data described in the application for use in the proposed research and in time to meet the proposed schedule.

## **7. Appendix E (Optional)**

### **a) Submission**

If you include Appendix E, you should include it at the end of the Training Program Narrative, following included appendices, and submit it as part of the same PDF attachment at Item 8 of the Other Project Information form (see [Part V.E.4 Research and Related Other Project Information](#))

### **b) Page limitations**

Appendix E is limited to 15 pages.

### **c) Content**

The following are the only materials that may be included in Appendix E: all other materials will be removed prior to the review of the application.

- Examples of training materials and tables/charts that support the Training Program Narrative (project timeline and a table of training activities, mentoring activities, and seminars).
- If you are proposing to study, develop, evaluate, or validate an intervention or assessment you may include examples of curriculum material, computer screen shots, and/or assessment items used in the intervention or assessment to be studied, developed, evaluated, or validated.

## **8. Bibliography and References Cited**

### **a) Submission**

You must submit this section as a separate PDF attachment at Item 9 of the Other Project Information form (see [Part V.E.4: Research & Related Other Project Information](#)).

### **b) Page limitations**

The Bibliography and References Cited does not have a page limit.

### **c) Content**

You should include complete citations, including the names of all authors (in the same sequence in which they appear in the publication), titles (e.g., article and journal, chapter and book, book), page numbers, and year of publication for literature cited in the Training Program narrative.

## **9. Research on Human Subjects Narrative**

### **a) Submission**

The human subjects narrative must be submitted as a PDF attachment at Item 12 of the Other Project Information form (see [Part V.E.4: Research & Related Other Project Information](#)).

**b) Page limitations**

The human subjects narrative does not have a page limit.

**c) Content**

The human subjects narrative should address the information specified by the U.S. Department of Education's Regulations for the Protection of Human Subjects (see <http://www2.ed.gov/about/offices/list/ocfo/humansub.html> for additional information).

*Exempt Research on Human Subjects Narrative*

Provide an "exempt" narrative if you checked "yes" on Item 1 of the Research & Related Other Project Information form (see [Part V.E.4: Research & Related Other Project Information](#)). The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by the Department that the designated exemption(s) are appropriate. The six categories of research that qualify for exemption from coverage by the regulations are described on the Department's website <http://www2.ed.gov/policy/fund/guid/humansub/overview.html>.

*Non-exempt Research on Human Subjects Narrative*

If some or all of the planned research activities are covered by (not exempt from) the Human Subjects Regulations and you checked "no" on Item 1 of the Research & Related Other Project Information form (see [Part V.E.4: Research & Related Other Project Information](#)), provide a "nonexempt research" narrative. The nonexempt narrative should describe the following: the characteristics of the subject population; the data to be collected from human subjects; recruitment and consent procedures; any potential risks; planned procedures for protecting against or minimizing potential risks; the importance of the knowledge to be gained relative to potential risks; and any other sites where human subjects are involved.

Note that the U.S. Department of Education does not require certification of Institutional Review Board approval at the time you submit your application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated U.S. Department of Education official will request that you obtain and send the certification to the Department within 30 days after the formal request.

**10. Biographical Sketches for Senior/Key Personnel****a) Submission**

Each sketch will be submitted as a separate PDF attachment and attached to the Research & Related Senior/Key Person Profile (Expanded) form (see [Part V.E.2: Research & Related Senior/Key Person Profile \[Expanded\]](#)). The Institute encourages you to use the biosketch template available through [SciENCv](#) or you may develop your own biosketch format.

**b) Page limitations**

Each biographical sketch is limited to five pages which includes Current & Pending Support.

### **c) Content**

Provide a biographical sketch for the Principal Investigator and each mentor that includes information sufficient to demonstrate that key personnel possess training and expertise commensurate with their specified duties on the proposed project (e.g., publications, grants, and relevant research experience). If you'd like, you may also include biographical sketches for consultants (this form will allow for up to 40 biographical sketches in total).

Provide a list of current and pending grants for the Principal Investigator, each mentor, and other key personnel, along with the proportion of his/her time, expressed as percent effort over a 12-month calendar year, allocated to each project. Include the proposed Early Career grant as one of his/her pending grants in this list. If the total 12-month calendar year percent effort across all current and pending projects exceeds 100 percent, you must explain how time will be allocated if all pending applications are successful in the Narrative Budget Justification. If you use [SciENCy](#), the information on current and pending support will be entered into the biosketch template. If you use your own format, you will need to provide this information in a separate table.

Indicate on your biosketch the date you completed a postdoctoral program and/or the date your doctoral degree was granted.

## **11. Narrative Budget Justification**

### **a) Submission**

The narrative budget justification must be submitted as a PDF attachment at Section K of the first project period of the Research & Related Budget (SF 424) Sections A & B; C, D, & E; and F-K form for the Project (see [Part V.E.5 Research & Related Budget \(Total Federal + Non-Federal\) - Sections A & B; C, D, & E; and F-K](#)). For grant submissions with a subaward(s), a separate narrative budget justification for each subaward must be submitted and attached at Section K of the Research & Related Budget (SF 424) for the specific Subaward/Consortium that has been extracted and attached using the R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form (see [Part V.E.6](#)).

### **b) Page limitations**

The narrative budget justification does not have a page limit.

### **c) Content**

A narrative budget justification must be submitted for the Project budget, and a separate narrative budget justification must be submitted for any subaward budgets included in the application. Each narrative budget justification should provide sufficient detail to allow reviewers to judge whether reasonable costs have been attributed to the project and its subawards, if applicable. The budget justification should correspond to the itemized breakdown of project costs that is provided in the corresponding Research & Related Budget (SF 424) Sections A & B; C, D, & E; and F-K form for each year of the project. The narrative should include the time commitments for key personnel expressed as annual percent effort (i.e., calculated over a 12-month period) and brief descriptions of the responsibilities of key personnel. For consultants, the narrative should include the number of days of anticipated consultation, the expected rate of compensation, travel, per diem, and other related costs. A justification for equipment purchases, supplies, travel (including information regarding number of days of travel, mode of transportation, per diem rates, number of travelers, etc.), and other related project costs should

also be provided in the budget narrative for each project year outlined in the Research & Related Budget (SF 424).

**d) Indirect cost rate**

U.S. Department of Education policy (34 CFR 75.562 (c)(2)) limits indirect cost reimbursement on a training grant to the recipient's actual indirect costs, as determined by its negotiated indirect cost rate agreement, or 8 percent of a modified total direct cost (MTDC) base, whichever amount is less. For the purposes of this competition, MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of \$25,000.

## PART V: SUBMITTING YOUR APPLICATION

This part of the RFA describes important submission procedures you need to be aware of to ensure your application is received on time (no later than 4:30:00 p.m. Washington, DC time on August 4, 2016) and accepted by the Institute. Any questions that you may have about electronic submission via Grants.gov should first be addressed to the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov), <http://www.grants.gov/web/grants/about/contact-us.html>, or call 1-800-518-4726.

Additional help with submitting an application electronically through the Grants.gov website is available at <http://www.grants.gov/web/grants/applicants/applicant-resources.html>. The Institute also offers webinars on the application submission process <http://ies.ed.gov/funding/webinars/index.asp>.

### A. MANDATORY ELECTRONIC SUBMISSION OF APPLICATIONS AND DEADLINE

Applications must be submitted electronically through the Internet using the software and application package provided on the Grants.gov website: <http://www.grants.gov/>. Applications must be received (fully uploaded and processed by Grants.gov) no later than 4:30:00 p.m. Washington, DC time on August 4, 2016. Applications received by Grants.gov after the 4:30:00 p.m. application deadline will be considered late and will not be sent forward for scientific peer review.

Electronic submission is required unless you qualify for one of the exceptions to the electronic submission requirement *and* submit, no later than 2 weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. A description of the Allowable Exceptions to Electronic Submissions is provided at the end of this document.

Please consider submitting your application ahead of the deadline date (the Institute recommends 3 to 4 days in advance of the closing date and time) to avoid running the risk of a late submission that will not be reviewed. **The Institute does not accept late applications.**

### B. REGISTER ON GRANTS.GOV

To submit an application through Grants.gov, your institution must be registered with Grants.gov (<http://www.grants.gov/web/grants/register.html>).

Grants.gov registration involves many steps including prior registration in the System for Award Management (SAM: formerly known as the Central Contractor Registry or CCR) at <http://www.sam.gov>. Grants.gov recommends that your institution begin the registration process at least 4 weeks prior to the application deadline date.

#### 1. Register Early

Registration involves multiple steps (described below) and takes at least 3 to 5 business days, or as long as 4 weeks, to complete. You must complete all registration steps to allow a successful application submission via Grants.gov. You may begin working on your application

while completing the registration process, but you will not be permitted to submit your application until all of the registration steps are complete.

## 2. How to Register

- Choose "Organization Applicant" for the type of registration.
- Complete the DUNS OR DUNS+4 Number field.
  - If your organization does not already have a DUNS Number, you can request one online by using the form at the Dun & Bradstreet website <http://fedgov.dnb.com/webform> or by phone (866-705-5711).
  - To submit successfully, you must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This DUNS number is typically the same number used when your organization registered with the SAM. **If you don't enter the same DUNS number as the DUNS you registered with, Grants.gov will reject your application.**
- Register with the System for Award Management (SAM): <http://www.sam.gov>.
  - You can learn more about the SAM and the registration process for grant applicants in the SAM user guide: [https://www.sam.gov/sam/transcript/Quick Guide for Grants Registrations v1.7.pdf](https://www.sam.gov/sam/transcript/Quick%20Guide%20for%20Grants%20Registrations%20v1.7.pdf)  
  
For further assistance, please consult the tip sheet that the U.S. Department of Education has prepared for help with the SAM system: <http://www2.ed.gov/fund/grant/apply/sam-faqs.html>.
  - Registration with the SAM may take a week to complete, but could take as many as several weeks to complete, depending on the completeness and accuracy of the data entered into the SAM database by an applicant. The SAM registration must be updated annually.
  - Once your SAM registration is active, it will take 24 to 48 hours for the information to be available in Grants.gov. You will only be able to submit your application via Grants.gov once the SAM information is available in Grants.gov.
- Create your Username & Password.
  - Complete your AOR profile on Grants.gov and create your username and password. You will need to use your organization's DUNS Number to complete this step <https://apply07.grants.gov/apply/OrcRegister>.
- AOR Authorization

- The E-Business Point of Contact (E-Biz POC) at your organization must log in to Grants.gov to confirm you as an AOR. Please note that there can be more than one AOR for your organization. In some cases the E-Biz POC is also the AOR for an organization.

## **C. SUBMISSION AND SUBMISSION VERIFICATION**

### **1. Submit Early**

The Institute strongly recommends that you not wait until the deadline date to submit an application. Grants.gov will put a date/time stamp on the application and then process it after it is fully uploaded. **The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your internet connection.** If Grants.gov rejects your application due to errors in the application package, you will need to resubmit successfully before 4:30:00 p.m. Washington, DC time on the deadline date as determined by Grants.gov. As an example, if you begin the submission process at 4:00:00 p.m. Washington, DC time on the deadline date, and Grants.gov rejects the application at 4:15:00 p.m. Washington, DC time, there may not be enough time for you to locate the error that caused the submission to be rejected, correct it, and then attempt to submit the application again before the 4:30:00 p.m. Washington, DC time deadline. **You are strongly encouraged to begin the submission process at least three to four days before the deadline date to ensure a successful, on-time submission.**

### **2. Verify Submission is OK**

The Institute urges you to verify that Grants.gov and the Institute have received the application on time and that it was validated successfully. To see the date and time that your application was received by Grants.gov, you need to log in to Grants.gov and click on the "Track My Application" link <http://www.grants.gov/web/grants/applicants/track-my-application.html>. For a successful submission, the date/time received should be no later than 4:30:00 p.m. Washington, DC time on the deadline date, AND the application status should be: (1) Validated (i.e., no errors in submission), (2) Received by Agency (i.e., Grants.gov has transmitted the submission to the U.S. Department of Education), or (3) Agency Tracking Number Assigned (the U.S. Department of Education has assigned a unique PR/Award Number to the application).

Note: If the date/time received is later than 4:30:00 p.m. Washington, DC time on the deadline date, the application is late. If the application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will change either to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," the application has not been received successfully. Grants.gov provides information on reasons why applications may be rejected in its Frequently Asked Questions (FAQ) page.

- Grants.gov FAQ  
<http://www.grants.gov/web/grants/applicants/applicant-faqs.html>

You will receive four emails regarding the status of your submission; the first three will come from Grants.gov and the fourth will come from the U.S. Department of Education. Within 2 days of submitting a grant application to Grants.gov, you will receive three emails from Grants.gov:

- The first email message will confirm receipt of the application by the Grants.gov system and will provide you with an application tracking number beginning with the word



"GRANT", for example GRANT00234567. You can use this number to track your application on Grants.gov using the "Track My Application" link <http://www.grants.gov/web/grants/applicants/track-my-application.html> before it is transmitted to the U.S. Department of Education.

- The second email message will indicate that the application EITHER has been successfully validated by the Grants.gov system prior to transmission to the U.S. Department of Education OR has been rejected due to errors, in which case it will not be transmitted to the Department.
- The third email message will indicate that the U.S. Department of Education has confirmed retrieval of the application from Grants.gov once it has been validated.

If the second email message indicates that the application, as identified by its unique application tracking number, is valid and the time of receipt was no later than 4:30:00 p.m. Washington, DC time on the deadline date, then the application submission is successful and on time.

Note: You should not rely solely on e-mail to confirm whether an application has been received on time and validated successfully. The Institute urges you to use the "Track My Application" link on Grants.gov to verify on-time, valid submissions in addition to the confirmation emails. <http://www.grants.gov/web/grants/applicants/track-my-application.html>

Once Grants.gov validates the application and transmits it to the U.S. Department of Education, you will receive an email from the U.S. Department of Education.

- This fourth email message will indicate that the application has been assigned a PR/Award number unique to the application beginning with the letter R, followed by the section of the CFDA number unique to the training competition (i.e., 324B), the fiscal year for the submission (i.e., 17 for fiscal year 2017), and finally four digits unique to the application, for example R324B17XXXX. If the application was received after the closing date/time, this email will also indicate that the application is late and will not be given further consideration.

Note: The Institute strongly recommends that you begin the submission process at least 3 to 4 days in advance of the closing date to allow for a successful and timely submission.

### **3. Late Applications**

If your application is submitted after 4:30:00 p.m. Washington, DC time on the application deadline date, your application will not be accepted and will not be reviewed. **The Institute does not accept late applications.**

Late applications are often the result of one or more common submission problems that could not be resolved because there was not enough time to do so before the application deadline. Grants.gov has several resources that can help you resolve problems such as these.

- <http://www.grants.gov/web/grants/applicants/applicant-faqs.html>
- <http://www.grants.gov/web/grants/applicants/encountering-error-messages.html>

If after consulting these resources you still experience problems submitting an application through Grants.gov, contact the Grants.gov Support Desk ([support@grants.gov](mailto:support@grants.gov), <http://www.grants.gov/web/grants/about/contact-us.html>, 1-800-518-4726) to obtain a Case Number (e.g., 1-12345678) that you should keep as a record of the problem(s) you experienced. If the Grants.gov Support Desk determines that a technical problem occurred with the Grants.gov system, and determines that the problem affected your ability to submit the application by the submission deadline, you may petition the Institute to accept your application for review by emailing the Program Officer for the topic designated in your application with an explanation of the technical problem experienced with Grants.gov and the Case Number. However, you should ensure that your problem(s) were not one of those that are identified by Grants.gov as common application errors because these are not grounds for petition. **The Institute will not accept an application that was late due to failure to follow the submission guidelines provided by Grants.gov and summarized in this RFA.**

#### **D. TIPS FOR WORKING WITH GRANTS.GOV**

The Institute strongly encourages you to use the "Check Application for Errors" button at the top of the grant application package to identify errors or missing required information that can prevent an application from being processed and sent forward for review.

Note: You must click the "Save and Submit" button at the top of the application package to upload the application to the Grants.gov website. The "Save and Submit" button will become active only after you have used the "Check Package for Errors" button and then clicked the "Save" button. Once the "Save and Submit" button is clicked, you will need to enter the user name and password that were created upon registration with Grants.gov.

##### **1. Working Offline**

When you download the application package from Grants.gov, you will be working offline and saving data on your computer. You will need to log in to Grants.gov to upload the completed application package and submit the application.

##### **2. Connecting to the Internet**

- Using a dial-up connection to upload and submit an application can take significantly longer than when connected to the Internet with a high-speed connection to the internet (e.g., cable modem/DSL/T1). Although times will vary depending upon the size of the application, it can take a few minutes to a few hours to complete the grant submission using a dial-up connection.
- Browser Support: Grants.gov is a Custom Java Application that uses standard web-browsers as the client. Grants.gov leverages the latest web technologies such as Ajax which relies extensively on JavaScript, HTML, and CSS. Grants.gov recommends you use the most up-to-date web browser to ensure an on-time submission.

##### **3. Software Requirements**

You will need Adobe software to read and complete the application forms for submission through Grants.gov. Grants.gov supports Adobe Reader version 9 through 11 (<http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>).

##### **4. Attaching Files**

The forms included in the application package provide the means for you to attach Adobe Portable Document Format (PDF) files. **You must attach read-only, non-modifiable PDF files**; any other file attachment will cause your application to be rejected by Grants.gov.

If you include scanned documents as part of a PDF file (e.g., Letters of Agreement in Appendix D), scan them at the lowest resolution to minimize the size of the file and expedite the upload process. PDF files that contain graphics and/or scanned material can greatly increase the size of the file attachments and can result in difficulties opening the files. The average discretionary grant application package totals 1 to 2 MB; therefore, **check the total size of your application package before you attempt to submit it**. Very large application packages can take a long time to upload, putting the application at risk of being received late and therefore not accepted by the Institute.

PDF files included in the application **must** be:

- **In a read-only, non-modifiable format.**
- **Individual files** (attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable PDF file will not be read).
- **Not password protected.**
- **Given a file name that:**
  - **Is unique** - Grants.gov cannot process an application that includes two or more file attachments that have the same name.
  - **Is no more than 50 characters.**
  - **Contains no special characters (e.g., &, -, \*, %, /, #), blank spaces, periods, or accent marks in the file name** (you may use an underscore to indicate word separation in file names such as "my\_Attached\_File.pdf").

Please note that if these guidelines are not followed, your application will be rejected by Grants.gov and not forwarded to the U.S. Department of Education.

## **E. REQUIRED RESEARCH & RELATED (R&R) FORMS AND OTHER FORMS**

You must complete and submit the R&R forms described below. All of these forms are provided in the application package for this competition (84-324B2017). Please note that fields marked by an asterisk and highlighted in yellow and outlined in red on these forms are required fields and must be completed to ensure a successful submission.

Note: Although not required fields, Items 4a (Federal Identifier) and b (Agency Routing Number) on the Application for Federal Assistance SF 424 (R&R) form provide critical information to the Institute and should be filled out for an application to this research grant competition.

### **1. Application for Federal Assistance SF 424 (R&R)**

This form asks for general information about the applicant, including but not limited to the following: contact information; an Employer Identification Number (EIN); a DUNS number; a descriptive title for the project; an indication of the project topic; Principal Investigator contact

information; start and end dates for the project; congressional district; total estimated project funding; and Authorized Representative contact information.

Because information on this form populates selected fields on some of the other forms described below, you should complete this form first. This form allows you to attach a cover letter; however, the Institute does not require a cover letter so you should not attach one here.

Provide the requested information using the drop down menus when available. Guidance for completing selected items follows.

- Item 1

Type of Submission. Select either "Application" or "Changed/Corrected Application." "Changed/Corrected Application" should only be selected in the event that you need to submit an updated version of an already submitted application (e.g., you realized you left something out of the first application submitted). The Institute does not require Pre-applications for its grant competitions.

- Item 2

Date Submitted. Enter the date the application is submitted to the Institute.

Applicant Identifier. Leave this blank.

- Item 3

Date Received by State and State Application Identifier. Leave these items blank.

- Item 4

Note: This item provides important information that is used by the Institute to screen applications for responsiveness to the competition requirements and for assignment to the appropriate scientific peer-review panel. **It is critical that you complete this information completely and accurately or the application may be rejected as nonresponsive or assigned inaccurately for scientific review of merit.**

- Item 4a: Federal Identifier. **Enter information in this field if this is a Resubmission.** If this application is a revision of an application that was submitted to an Institute grant competition in a prior fiscal year (e.g., FY 2016) that received reviewer feedback, then this application is considered a "Resubmission" (see Item 8 Type of Application). You should **enter the PR/Award number that was assigned to the prior submission (e.g., R324B13XXXX or R305B14XXXX) in this field.**
- Agency Routing Number. **Enter the code for the topic the application addresses in this field.** Applications to the Research Training Program in Special Education (CFDA 84.324B) program must be submitted to a particular topic (see [Part II: Requirements](#) for additional information).

Topic	Code
Early Career Development and Mentoring	NCSEER-Early Career

**It is critical that you use the appropriate codes in this field and that the codes shown in this field agree with the information included in the application abstract.**

Indicating the correct code facilitates the appropriate processing and review of the application. Failure to do so may result in delays to processing and puts your application at risk for being identified as nonresponsive and not considered for further review.

- Item 4c: Previous Grants.gov Tracking ID. If you are submitting a "Changed/Corrected" application (see Item 1) to correct an error, enter the Grants.gov Tracking Number associated with the application that was already submitted through Grants.gov. Note: If you need to correct an error and submit a "Changed/Corrected" application, contact the Program Officer listed on the application package and provide the Grants.gov tracking numbers associated with both applications (the one with the error and the one that has been corrected) and identify which one should be reviewed by the Institute.
- Item 5

Applicant Information. Enter all of the information requested, including the legal name of the applicant, the name of the primary organizational unit (e.g., school, department, division, etc.) that will undertake the activity, and the address, including the county and the 9-digit ZIP/Postal Code of the primary performance site (i.e., the Applicant institution) location. This field is required if the Project Performance Site is located in the United States. The field for "Country" is pre-populated with "USA: UNITED STATES." Use the drop down menus where they are provided.

Organizational DUNS. Enter the DUNS or DUNS+4 number of the applicant organization. A **Data Universal Numbering System (DUNS)** number is a unique 9-character identification number provided by the commercial company Dun & Bradstreet (D&B) to identify organizations. If your institution does not have a DUNS number and therefore needs to register for one, a DUNS number can be obtained through the Dun & Bradstreet website <http://fedgov.dnb.com/webform/displayHomePage.do>.

Note: The DUNS number provided on this form must be the same DUNS number used to register on Grants.gov (and the same as the DUNS number used when registering with the SAM). **If the DUNS number used in the application is not the same as the DUNS number used to register with Grants.gov, the application will be rejected with errors by Grants.gov.**

Person to Be Contacted on Matters Involving this Application. Enter all of the information requested, including the name, telephone and fax numbers, and email address of the person to be contacted on matters involving this application. The role of this person is primarily for communication purposes on the budgetary aspects of the project. As an

example, this may be the contact person from the applicant institution's office of sponsored projects. Use the drop down menus where they are provided.

- Item 6

Employer Identification (EIN) or (TIN). Enter either the Employer Identification Number (EIN) or Tax Identification Number (TIN) as assigned by the Internal Revenue Service.

- Item 7

Type of Applicant. Use the drop down menu to select the type of applicant. If Other, please specify.

Small Business Organization Type. If "Small Business" is selected as Type of Applicant, indicate whether or not the applicant is a "Women Owned" small business – a small business that is at least 51% owned by a woman or women, who also control and operate it. Also indicate whether or not the applicant is a "Socially and Economically Disadvantaged" small business, as determined by the U.S. Small Business Administration pursuant to section 8(a) of the Small Business Act U.S.C. 637(a).

- Item 8

Type of Application. Indicate whether the application is a "New" application or a "Resubmission" of an application that was submitted under a previous Institute competition and received reviewer comments. Only the "New" and "Resubmission" options apply to Institute competitions. Do not select any option other than "New" or "Resubmission."

Submission to Other Agencies. Indicate whether or not this application is being submitted to another agency or agencies. If yes, indicate the name of the agency or agencies.

- Item 9

Name of Federal Agency. Do not complete this item. The name of the federal agency to which the application is being submitted will already be entered on the form.

- Item 10

Catalog of Federal Domestic Assistance Number. Do not complete this item. The CFDA number of the program competition to which the application is being submitted will already be entered on the form. The CFDA number can be found in the Federal Register Notice and on the face page of the Request for Applications.

- Item 11

Descriptive Title of Applicant's Project. **Enter a distinctive, descriptive title for the project.** The maximum number of characters allowed in this item field is 200.

- Item 12

Proposed Project Start Date and Ending Date. Enter the proposed start date of the project and the proposed end date of the project. The start date must not be earlier than July 1, 2017, which is the Earliest Anticipated Start Date listed in this Request for Applications, and must not be later than September 1, 2017.

- Item 13

Congressional District of Applicant. For both the applicant and the project, enter the Congressional District in this format: 2-character State Abbreviation and 3-character District Number (e.g., CA-005 for California's 5th district, CA-012 for California's 12th district). Grants.gov provides help for finding this information <http://www.grants.gov/web/grants/applicants/applicant-faqs.html> under "How can I find my congressional district code?" If the program/project is outside the U.S., enter 00-000.

- Item 14

Project Director/Principal Investigator Contact Information. Enter all of the information requested for the Project Director/Principal Investigator, including position/title, name, address (including county), organizational affiliation (e.g., organization, department, division, etc.), telephone and fax numbers, and email address. Use the drop down menus where they are provided.

- Item 15

Estimated Project Funding

- Total Federal Funds Requested. Enter the total Federal funds requested for the entire project period.
- Total Non-Federal Funds. Enter the total Non-Federal funds requested for the entire project period.
- Total Federal & Non-Federal Funds. Enter the total estimated funds for the entire project period, including both Federal and Non-Federal funds.
- Estimated Program Income. Identify any program income estimated for the project period, if applicable.

- Item 16

Is Application Subject to Review by State Executive Order 12372 Process? The Institute is not soliciting applications that are subject to review by Executive Order 12372; therefore, check the box "Program is not covered by E.O. 12372" to indicate "No" for this item.

- Item 17

This is the Authorized Organization Representative's electronic signature.

By providing the electronic signature, the Authorized Organization Representative certifies the following:

- To the statements contained in the list of certifications
- That the statements are true, complete and accurate to the best of his/her knowledge.

By providing the electronic signature, the Authorized Organization Representative also provides the required assurances, agrees to comply with any resulting terms if an award is accepted, and acknowledges that any false, fictitious, or fraudulent statements or claims may subject him/her to criminal, civil, or administrative penalties.

Note: The certifications and assurances referred to here are described in [Part V.E.7: Other Forms Included in the Application Package](#).

- Item 18

SF LLL or other Explanatory Documentation. Do not add the SF LLL here. A copy of the SF LLL is provided as an optional document within the application package. See [Part V.E.7: Other Forms Included in the Application Package](#) to determine applicability. If it is applicable to the grant submission, choose the SF LLL from the optional document menu, complete it, and save the completed SF LLL form as part of the application package.

- Item 19

Authorized Representative. The Authorized Representative is the official who has the authority both to legally commit the applicant to (1) accept federal funding and (2) execute the proposed project. Enter all information requested for the Authorized Representative, including name, title, organizational affiliation (e.g., organization, department, division, etc.), address, telephone and fax numbers, and email address of the Authorized Representative. Use the drop down menus where they are provided.

Signature of Authorized Representative. Leave this item blank as it is automatically completed when the application is submitted through Grants.gov.

Date Signed. Leave this item blank as the date is automatically generated when the application is submitted through Grants.gov.

- Item 20

Pre-application. Do not complete this item as the Institute does not require pre-applications for its grant competitions.



- Item 21

Cover Letter. Do not complete this item as the Institute does not require cover letters for its grant competitions.

## **2. Research & Related Senior/Key Person Profile (Expanded)**

This form asks you to: (1) identify the Project Director/Principal Investigator and other senior and/or key persons involved in the project; (2) specify the role key staff will serve; and (3) provide contact information for each senior/key person identified. The form also requests information about the highest academic or professional degree or other credentials earned and the degree year. This form includes a "Credential/Agency Log In" box that is optional.

This form also provides the means for attaching the Biographical Sketches of senior/key personnel as PDF files. This form will allow for the attachment of a total of 40 biographical sketches: one of each for the Project Director/Principal Investigator and up to 39 additional sketches and lists for senior/key staff. See [Part IV.D.10: Biographical Sketches of Senior/Key Personnel](#) for information about page limitations, format requirements, and content to be included in the biographical sketches. The persons listed on this form should be the same persons listed in the Personnel section of the Project Narrative. If consultants are listed there, you may include a biographical sketch for each one listed. The Institute encourages the use of [SciENCv](#) to create IES Biosketches for grant applications to the Institute.

## **3. Project/Performance Site Location(s)**

This form asks you to identify the primary site where project work will be performed. You must complete the information for the primary site. If a portion of the project will be performed at any other site(s), the form also asks you to identify and provide information about the additional site(s). As an example, a research proposal to an Institute competition may include the applicant institution as the primary site and one or more schools where data collection will take place as additional sites. The form permits the identification of eight project/performance site locations in total. This form requires the applicant to identify the Congressional District for each site. See above, [Application for Federal Assistance SF 424 \(R&R\)](#), Item 13 for information about Congressional Districts. DUNS number information is optional on this form.

## **4. Research & Related Other Project Information**

This form asks you to provide information about any research that will be conducted involving Human Subjects, including: (1) whether human subjects are involved; (2) if human subjects are involved, whether or not the project is exempt from the human subjects regulations; (3) if the project is exempt from the regulations, an indication of the exemption number(s); and, (4) if the project is not exempt from the regulations, whether an Institutional Review Board (IRB) review is pending; and if IRB approval has been given, the date on which the project was approved and the Human Subject Assurance number. This form also asks you: (1) whether there is proprietary information included in the application; (2) whether the project has an actual or potential impact on the environment; (3) whether the research site is designated or eligible to be designated as an historic place; and, (4) if the project involves activities outside the U.S., to identify the countries involved.

This form also provides the means for attaching a number of PDF files (see [Part IV.D: PDF Attachments](#) for information about page limitations, format requirements, and content) including the following:

- Project Summary/Abstract,
  - Project Narrative and Appendices,
  - Bibliography and References Cited, and
  - Research on Human Subjects Narrative.
- 
- Item 1

Are Human Subjects Involved? If activities involving human subjects are planned at any time during the proposed project at any performance site or collaborating institution, you must check "Yes." (You must check "Yes" even if the proposed project is exempt from Regulations for the Protection of Human Subjects.) If there are no activities involving human subjects planned at any time during the proposed project at any performance site or collaborating institution, you may check "No" and skip to Item 2.

Is the Project Exempt from Federal Regulations? If all human subject activities are exempt from Human Subjects regulations, then you may check "Yes." You are required to answer this question if you answered "yes" to the first question "Are Human Subjects Involved?"

If you answer "yes" to the question "Is the Project Exempt from Federal Regulations?" you are required to check the appropriate exemption number box or boxes corresponding to one or more of the exemption categories. The six categories of research that qualify for exemption from coverage by the regulations are described on the U.S. Department of Education's website <http://www2.ed.gov/policy/fund/guid/humansub/overview.html>. Provide an Exempt Research on Human Subjects Narrative at Item 12 of this form (see [Part IV.D.9. Research on Human Subjects Narrative](#)).

If you answer "no" to the question "Is the Project Exempt from Federal Regulations?" you will be prompted to answer questions about the Institutional Review Board (IRB) review.

If no, is the IRB review pending? Answer either "Yes" or "No."

If you answer "yes" because the review is pending, then leave the IRB approval date blank. If you answer "no" because the review is not pending, then you are required to enter the latest IRB approval date, if available. Therefore, you should select "No" only if a date is available for IRB approval.

Note: IRB Approval may not be pending because you have not begun the IRB process. In this case, an IRB Approval Date will not be available. However, a date must be entered in this field if "No" is selected or the application will be rejected with errors by

Grants.gov. Therefore, you should check "Yes" to the question "Is the IRB review pending?" if an IRB Approval date is not available.

If you answer "no" to the question "Is the Project Exempt from Federal Regulations?" provide a Non-exempt Research on Human Subjects Narrative at Item 12 of this form (see [Part IV.D.9. Research on Human Subjects Narrative](#)).

Human Subject Assurance Number: Leave this item blank.

- Item 2

Are Vertebrate Animals used? Check whether or not vertebrate animals will be used in this project.

- Item 3

Is proprietary/privileged information included in the application? Patentable ideas, trade secrets, privileged or confidential commercial or financial information, disclosure of which may harm the applicant, should be included in applications only when such information is necessary to convey an understanding of the proposed project. If the application includes such information, check "Yes" and clearly mark each line or paragraph on the pages containing the proprietary/privileged information with a legend similar to, "The following contains proprietary/privileged information that (name of applicant) requests not be released to persons outside the Government, except for purposes of review and evaluation."

- Item 4

Does this project have an actual or potential impact on the environment? Check whether or not this project will have an actual or potential impact on the environment.

- Item 5

Is the research site designated or eligible to be designated as a historic place? Check whether or not the research site is designated or eligible to be designated as a historic place. Explain if necessary.

- Item 6

Does the project involve activities outside of the United States or partnerships with international collaborators? Check "Yes" or "No." If the answer is "Yes," then you need to identify the countries with which international cooperative activities are involved. An explanation of these international activities or partnerships is optional.

- Item 7

Project Summary/Abstract. Attach the Project Summary/Abstract as a PDF file here. See [Part IV.D. PDF Attachments](#) for information about content, formatting, and page limitations for this PDF file.

- Item 8

Project Narrative. Create a single PDF file that contains the Project Narrative as well as, when applicable, Appendix A, Appendix B, Appendix C, Appendix D, and Appendix E. Attach that single PDF file here. See [Part IV.D. PDF Attachments](#) for information about content, formatting, and page limitations for this PDF file.

- Item 9

Bibliography and References Cited. Attach the Bibliography and References Cited as a PDF file here. See [Part IV.D. PDF Attachments](#) for information about content, formatting, and page limitations for this PDF file.

- Item 10

Facilities and Other Resources. The Institute does not want an attachment here. Explanatory information about facilities and other resources must be included in the Resources Section of the Project Narrative for the application and may also be included in the Narrative Budget Justification. In the project narrative of competitive proposals, applicants describe having access to institutional resources that adequately support research activities and access to schools in which to conduct the research. Strong applications document the availability and cooperation of the schools or other education delivery settings that will be required to carry out the research proposed in the application via a letter of agreement from the education organization. Include letters of agreement in Appendix D.

- Item 11

Equipment. The Institute does not want an attachment here. Explanatory information about equipment may be included in the Narrative Budget Justification.

- Item 12

Other Attachments. Attach a Research on Human Subjects Narrative as a PDF file here. You must attach either an Exempt Research on Human Subjects Narrative or a Non-Exempt Research on Human Subjects Narrative. See [Part IV.D. PDF Attachments](#) for information about content, formatting, and page limitations for this PDF file.

If you checked "Yes" to Item 1 of this form "Are Human Subjects Involved?" and designated an exemption number(s), then you must provide an "Exempt Research" narrative. If some or all of the planned research activities are covered by (not exempt from) the Human Subjects Regulations, then you must provide a "Nonexempt Research" narrative.

## 5. Research & Related Budget (Total Federal+Non-Federal)-Sections A & B; C, D, & E; F-K

This form asks you to provide detailed budget information for each year of support requested for the applicant institution (i.e., the Project Budget). The form also asks you to indicate any Non-Federal funds supporting the project. You should provide this budget information for each project year using all sections of the R&R Budget form. Note that the budget form has multiple sections for each budget year: A & B; C, D, & E; and F-K.

- Sections A & B ask for information about Senior/Key Persons and Other Personnel
- Sections C, D & E ask for information about Equipment, Travel, and Participant/Trainee Costs
- Sections F-K ask for information about Other Direct Costs and Indirect Costs

You must complete each of these sections for as many budget periods (i.e., project years) as you are requesting funds.

**Note:** The narrative budget justification for each of the project budget years must be attached at Section K of the first budget period; otherwise you will not be able to enter budget information for subsequent project years.

**Note: Budget information for a subaward(s) on the project must be entered using a separate form, the R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form,** described in [Part V.E.6](#). This is the only form that can be used to extract the proper file format to complete subaward budget information. **The application will be rejected with errors by Grants.gov if subaward budget information is included using any other form or file format.**

Enter the Federal Funds requested for all budget line items as instructed below. If any Non-Federal funds will be contributed to the project, enter the amount of those funds for the relevant budget categories in the spaces provided.

All fields asking for total funds in this form will auto calculate.

- Organizational DUNS.

If you completed the SF 424 R&R Application for Federal Assistance form first, the DUNS number will be pre-populated here. Otherwise, the organizational DUNS number must be entered here. See [Part V.E.1](#) for information on the DUNS number.

- Budget Type.

Check the box labeled "Project" to indicate that this is the budget requested for the primary applicant organization. If the project involves a subaward(s), you must access the R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form to complete a subaward budget (see Part [Part V.E.6](#) for instructions regarding budgets for a subaward).

- Budget Period Information.

Enter the start date and the end date for each budget period. **Enter only the number of budget periods allowed for the project as determined by the Award Duration Maximums for the Early Career Program** (4 years). Note: If you activate an extra budget period and leave it blank this may cause your application to be rejected with errors by Grants.gov.

- Budget Sections A & B

A. Senior/Key Person. The Project Director/Principal Investigator information will be pre-populated here from the SF 424 R&R Application for Federal Assistance form if it was completed first. Then, enter all of the information requested for each of the remaining senior/key personnel, including the project role of each and the number of months each will devote to the project, i.e., calendar or academic + summer. You may enter the annual compensation (base salary – dollars) paid by the employer for each senior/key person; however, you may choose to leave this field blank. Regardless of the number of months devoted to the project, indicate only the amount of salary being requested for each budget period for each senior/key person. Enter applicable fringe benefits, if any, for each senior/key person. Enter the Federal dollars and, if applicable, the Non-Federal dollars.

B. Other Personnel. Enter all of the information requested for each project role listed – for example Postdoctoral Associates, Graduate Students, Undergraduate Students, Secretary/Clerical, etc. – including, for each project role, the number of personnel proposed and the number of months devoted to the project (calendar or academic + summer). Regardless of the number of months devoted to the project, indicate only the amount of salary/wages being requested for each project role. Enter applicable fringe benefits, if any, for each project role category. Enter the Federal dollars and, if applicable, the Non-Federal dollars.

Total Salary, Wages, and Fringe Benefits (A + B). This total will auto calculate.

- Budget Sections C, D & E

C. Equipment Description. Enter all of the information requested for Equipment. Equipment is defined as an item of property that has an acquisition cost of \$5,000 or more (unless the applicant organization has established lower levels) and an expected service life of more than 1 year. List each item of equipment separately and justify each in the narrative budget justification. Allowable items ordinarily will be limited to research equipment and apparatus not already available for the conduct of the work. General-purpose equipment, such as a personal computer, is not eligible for support unless primarily or exclusively used in the actual conduct of scientific research. Enter the Federal dollars and, if applicable, the Non-Federal dollars.

Total C. Equipment. This total will auto calculate.

D. Travel. Enter all of the information requested for Travel.

Enter the total funds requested for domestic travel. In the narrative budget justification, include the purpose, destination, dates of travel (if known), applicable per diem rates, and number of individuals for each trip. If the dates of travel are not known, specify the estimated length of the trip (e.g., 3 days). Enter the Federal dollars and, if applicable, the Non-Federal dollars.

Enter the total funds requested for foreign travel. In the narrative budget justification, include the purpose, destination, dates of travel (if known), applicable per diem rates, and number of individuals for each trip. If the dates of travel are not known, specify the estimated length of the trip (e.g., 3 days). Enter the Federal dollars and, if applicable, the Non-Federal dollars.

Total D. Travel Costs. This total will auto calculate.

E. Participant/Trainee Support Costs. Do not enter information here; this category is not used for project budgets for this competition.

Number of Participants/Trainees. Do not enter information here; this category is not used for project budgets for this competition.

Total E. Participants/Trainee Support Costs. Do not enter information here; this category is not used for project budgets for this competition.

- Budget Sections F-K

F. Other Direct Costs. Enter all of the information requested under the various cost categories. Enter the Federal dollars and, if applicable, the Non-Federal dollars.

Materials and Supplies. Enter the total funds requested for materials and supplies. In the narrative budget justification, indicate the general categories of supplies, including an amount for each category. Categories less than \$1,000 are not required to be itemized.

Publication Costs. Enter the total publication funds requested. The proposed budget may request funds for the costs of documenting, preparing, publishing or otherwise making available to others the findings and products of the work conducted under the award. In the narrative budget justification, include supporting information.

Consultant Services. Enter the total costs for all consultant services. In the narrative budget justification, identify each consultant, the services he/she will perform, total number of days, travel costs, and total estimated costs. Note: Travel costs for consultants can be included here or in Section D. Travel.

ADP/Computer Services. Enter the total funds requested for ADP/computer services. The cost of computer services, including computer-based retrieval of scientific, technical, and education information may be requested. In the narrative budget justification, include the established computer service rates at the proposing organization if applicable.

Subaward/Consortium/Contractual Costs. Enter the total funds requested for: (1) all subaward/consortium organization(s) proposed for the project and (2) any other contractual costs proposed for the project. Use the R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form to provide detailed subaward information (see [Part V.E.6](#)).

Equipment or Facility Rental/User Fees. Enter the total funds requested for equipment or facility rental/user fees. In the narrative budget justification, identify each rental user fee and justify.

Alterations and Renovations. Leave this field blank. The Institute does not provide funds for construction costs.

Other. Describe any other direct costs in the space provided and enter the total funds requested for this "Other" category of direct costs. Use the narrative budget justification to further itemize and justify.

Total F. Other Direct Costs. This total will auto calculate.

- G. Direct Costs

Total Direct Costs (A thru F). This total will auto calculate.

- H. Indirect Costs

Enter all of the information requested for Indirect Costs. Principal Investigators should note that if they are requesting reimbursement for indirect costs, this information is to be completed by their Business Office.

U.S. Department of Education policy (34 CFR 75.562 (c)(2)) limits indirect cost reimbursement on a training grant to the recipient's actual indirect costs, as determined by its negotiated indirect cost rate agreement, or 8 percent of a modified total direct cost (MTDC) base, whichever amount is less. For the purposes of this competition, MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of \$25,000.

Indirect Cost Type. Indicate the type of base (e.g., Salary & Wages, Modified Total Direct Costs, Other (explain)). In addition, indicate if the Indirect Cost type is off-site. If more than one rate/base is involved, use separate lines for each. When calculating your expenses for research conducted in field settings, you should apply your institution's negotiated off-campus indirect cost rate, as directed by the terms of your institution's negotiated agreement with the federal government.

Institutions, both primary grantees and subawardees, not located in the territorial U.S. cannot charge indirect costs.



If you do not have a current indirect rate(s) approved by a Federal agency, indicate "None--will negotiate." **If your institution does not have a federally negotiated indirect cost rate**, you should consult a member of the Indirect Cost Group (ICG) in the U.S. Department of Education's Office of the Chief Financial Officer <http://www2.ed.gov/about/offices/list/ocfo/fipao/icgreps.html> to help you estimate the indirect cost rate to put in your application.

Indirect Cost Rate (percent). Indicate the most recent Indirect Cost rate(s) (also known as Facilities & Administrative Costs [F&A]) established with the cognizant Federal office, or in the case of for-profit organizations, the rate(s) established with the appropriate agency.

If your institution has a cognizant/oversight agency and your application is selected for an award, you must submit the indirect cost rate proposal to that cognizant/oversight agency office for approval.

Indirect Cost Base (\$). Enter the amount of the base (dollars) for each indirect cost type.

Depending on the grant program to which you are applying and/or the applicant institution's approved Indirect Cost Rate Agreement, some direct cost budget categories in the grant application budget may not be included in the base and multiplied by the indirect cost rate. Use the narrative budget justification to explain which costs are included and which costs are excluded from the base to which the indirect cost rate is applied. If your grant application is selected for an award, the Institute will request a copy of the applicant institution's approved Indirect Cost Rate Agreement.

Indirect Cost Funds Requested. Enter the funds requested (Federal dollars and, if applicable, the Non-Federal dollars) for each indirect cost type.

Total H. Indirect Costs. This total will auto calculate.

Cognizant Agency. Enter the name of the Federal agency responsible for approving the indirect cost rate(s) for the applicant. Enter the name and telephone number of the individual responsible for negotiating the indirect cost rate. If a Cognizant Agency is not known, enter "None."

- Total Direct and Indirect Costs

Total Direct and Indirect Costs (G + H). This total will auto calculate.

- J. Fee.

Do not enter a dollar amount here as you are not allowed to charge a fee on a grant or cooperative agreement.

- K. Budget Justification

Attach the Narrative Budget Justification as a PDF file at Section K of the first budget period (see [Part IV.D.11](#) for information about content, formatting, and page limitations for this PDF file). Note that if the justification is not attached at Section K of the first budget period, you will not be able to access the form for the second budget period and all subsequent budget periods. The single narrative must provide a budget justification for each year of the entire project.

- Cumulative Budget. This section will auto calculate all cost categories for all budget periods included.

**Final Note: The overall grant budget cannot exceed the maximum grant award as listed in the table below. Applications with budgets greater than the maximum grant award will not be forwarded for review.**

Topic	Maximum Grant Duration	Maximum Grant Award
Early Career Development and Mentoring	4 years	\$400,000

## 6. R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form

This form provides the means to both extract and attach the Research & Related Budget (Total Fed + Non-Fed) form that is to be used by an institution that will hold a subaward on the grant. Please note that separate budgets are required only for subawardee/consortium organizations that perform a substantive portion of the project. As with the Primary Budget, the extracted Research & Related Budget (Total Fed + Non-Fed) form asks you to provide detailed budget information for each year of support requested for a subaward/consortium member with substantive involvement in the project. The budget form also asks for information regarding Non-Federal funds supporting the project at the subaward/consortium member level. You should provide this budget information for each project year using all sections of the R&R Budget form. Note that the budget form has multiple sections for each budget year: A & B; C, D, & E; and F-K.

- Sections A & B ask for information about Senior/Key Persons and Other Personnel.
- Sections C, D & E ask for information about Equipment, Travel, and Participant/Trainee Costs.
- Sections F-K ask for information about Other Direct Costs and Indirect Costs.

"Subaward/Consortium" must be selected as the Budget Type, and all sections of the budget form for each project year must be completed in accordance with the R&R (Federal/Non-Federal) Budget instructions provided above in [Part V.E.6](#). Note that subaward organizations are also required to provide their DUNS or DUNS+4 number.

You may extract and attach up to 10 subaward budget forms. When you use the button "Click here to extract the R&R Budget (Fed/Non-Fed) Attachment," a Research & Related Budget (Total Fed + Non-Fed) form will open. Each institution that will hold a subaward to perform a substantive portion of the project must complete one of these forms and save it as a PDF file with the name of the subawardee organization. Once each subawardee institution has

completed the form, you must attach these completed subaward budget form files to the R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form. Each subaward budget form file attached to this form must have a unique name.

**Note:** This R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form must be used to attach only one or more Research & Related Budget (Total Fed + Non-Fed) form(s) that have been extracted from this form. Note the form's instruction: "Click here to extract the R&R Budget (Fed/Non-Fed) Attachment." **If you attach a file format to this form that was not extracted from this attachment form your application will be rejected with errors by Grants.gov.**

## 7. Other Forms Included in the Application Package

You are required to submit the first two forms identified here. You are not required to submit the third form, Disclosure of Lobbying Activities – Standard Form LLL, unless it is applicable.

- SF 424B-Assurances-Non-Construction Programs.
- Grants.gov Lobbying form (formerly 80-0013 form).
- Disclosure of Lobbying Activities – Standard Form LLL (if applicable).

## F. SUMMARY OF REQUIRED APPLICATION CONTENT

R&R Form	Required	Instructions Provided	Additional Information
Application for Federal Assistance SF 424 (R&R)	<input checked="" type="checkbox"/>	<a href="#">Part V.E.1</a>	Form provided in Grants.gov application package
Senior/Key Person Profile (Expanded)	<input checked="" type="checkbox"/>	<a href="#">Part V.E.2</a>	Form provided in Grants.gov application package
Project/Performance Site Location(s)	<input checked="" type="checkbox"/>	<a href="#">Part V.E.3</a>	Form provided in Grants.gov application package
Other Project Information	<input checked="" type="checkbox"/>	<a href="#">Part V.E.4</a>	Form provided in Grants.gov application package
Budget (Total Federal + Non-Federal): Sections A & B Sections C, D, & E Sections F - K	<input checked="" type="checkbox"/>	<a href="#">Part V.E.5</a>	Form provided in Grants.gov application package
R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form	--	<a href="#">Part V.E.6</a>	Form provided in Grants.gov application package. Use this form to <i>extract and attach</i> a subaward budget(s).
SF 424B Assurances – Non-Construction Programs	<input checked="" type="checkbox"/>	<a href="#">Part V.E.7</a>	Forms provided in Grants.gov application package
Grants.gov Lobbying form	<input checked="" type="checkbox"/>		
Disclosure of Lobby Activities – Standard Form LLL (if applicable)	--		

Training Program Summary/Abstract	<input checked="" type="checkbox"/>	<a href="#">Part IV.D.1</a>	Add as an attachment (PDF file) using Item 7 of the "Other Project Information" form.
Training Program Narrative and Appendices <ul style="list-style-type: none"> <li>• Narrative</li> <li>• Appendix A</li> <li>• Appendix B</li> <li>• Appendix C</li> <li>• Appendix D</li> <li>• Appendix E</li> </ul>	<input checked="" type="checkbox"/> -- <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> --	<a href="#">Part IV.D.2-7</a>	The Project Narrative, and if applicable Appendix A, Appendix B, Appendix C, Appendix D, and Appendix E must ALL be included together in one PDF file and attached at Item 8 of the "Other Project Information" form.
Bibliography and References Cited	<input checked="" type="checkbox"/>	<a href="#">Part IV.D.8</a>	Add as an attachment (PDF file) using Item 9 of the "Other Project Information" form.
Research on Human Subjects Narrative, if human subjects are involved	<input checked="" type="checkbox"/>	<a href="#">Part IV.D.9</a>	Add as an attachment (PDF file) using Item 12 of the "Other Project Information" form.
Biographical Sketches of Senior/Key Personnel including Current and Pending Support	<input checked="" type="checkbox"/>	<a href="#">Part IV.D.10</a>	Add each as a separate attachment (PDF file) using the "Senior/Key Person Profile (Expanded)" form.
Narrative Budget Justification	<input checked="" type="checkbox"/>	<a href="#">Part IV.D.12</a>	Add as an attachment (PDF file) using <i>Section K – Budget Period 1</i> of the "Budget (Total Federal + Non-Federal)" form.

## G. APPLICATION CHECKLIST

Have each of the following forms been completed?	
	SF 424 Application for Federal Assistance
	For item 4a, is the PR/Award number entered if this is a Resubmission following the instructions in <a href="#">Part V.E.1</a> ?
	For item 4b, is the correct topic code included following the instructions in <a href="#">Part V.E.1</a> ?
	For item 8, is the Type of Application appropriately marked as either "New" or "Resubmission" following the instructions in <a href="#">Part V.E.1</a> ?
	Senior/Key Person Profile (Expanded)
	Project/Performance Site Location(s)
	Other Project Information
	Budget (Total Federal + Non-Federal): Sections A & B; Sections C, D, & E; Sections F - K
	R&R Subaward Budget (Federal/Non-Federal) Attachment(s) form (if applicable)
	SF 424B Assurances – Non-Construction Programs
	Grants.gov Lobbying form (formerly 80-0013 form)
	Disclosure of Lobby Activities – Standard Form LLL (if applicable)
Have each of the following items been attached as PDF files in the correct place?	
	Project Summary/Abstract, using Item 7 of the "Other Project Information" form
	Project Narrative, and where applicable, Appendix A, Appendix B, Appendix C, Appendix D, and Appendix E as a single file using Item 8 of the "Other Project Information" form
	Bibliography and References Cited, using Item 9 of the "Other Project Information" form
	Research on Human Subjects Narrative, either the Exempt Research Narrative or the Non-exempt Research Narrative, using Item 12 of the "Other Project Information" form
	Biographical Sketches including Current and Pending Support of Senior/Key Personnel, using "Attach Biographical Sketch" of the "Senior/Key Person Profile (Expanded)" form
	Narrative Budget Justification, using Section K – Budget Period 1 of the "Budget (Total Federal + Non-Federal)" form

	Budget (Total Federal + Non-Federal): Sections A & B; Sections C, D, & E; Sections F – K for the Subaward(s), using the "R&R Subaward Budget (Federal/Non-Federal) Attachment(s)" form, as appropriate, that conforms to the Award Duration and Cost Maximums for the topic selected
Have the following actions been completed?	
	The correct PDF files are attached to the proper forms in the Grants.gov application package.
	The "Check Package for Errors" button at the top of the grant application package has been used to identify errors or missing required information that prevents an application from being processed.
	The "Track My Application" link has been used to verify that the upload was fully completed and that the application was processed and validated successfully by Grants.gov before 4:30:00 p.m., Washington, DC time on the deadline date.

## **H. PROGRAM OFFICER CONTACT INFORMATION**

Please contact the Institute's program officers with any questions you may have about your application. Program officers function as knowledgeable colleagues who can provide substantive feedback on your research idea, including reading a draft of your project narrative. Program officers can also help you with any questions you may have about the content and preparation of PDF file attachments. However, any questions you have about individual forms within the application package and electronic submission of your application through Grants.gov should be directed first to the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov), <http://www.grants.gov/web/grants/about/contact-us.html>, or call 1-800-518-4726.

### **Early Career Development and Mentoring**

Katherine (Katie) Taylor, Ph.D.

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## GLOSSARY

Administrative data: Information that is routinely collected about students, teachers, schools, and districts by state and local education agencies to assess progress, monitor programs, or adhere to reporting requirements. Examples of data include student enrollment, class schedules, grades, and assessments; teacher assignments and schedules; electronic communications with students, parents, and teachers; reports completed for EDFacts, Civil Rights Data Collection, and other federal initiatives; and fiscal records. Administrative data also include non-routine special data collections, for example, on a specific agency program, project, or policy or on a specific type of student, teacher, school, or district. Secondary data (also historical data) are a common form of administrative data.

Assessment: "Any systematic method of obtaining information, used to draw inferences about characteristics of people, objects, or programs; a systematic process to measure or evaluate the characteristics or performance of individuals, programs, or other entities, for purposes of drawing inferences; sometimes used synonymously with test" (AERA, 2014).

Authentic education setting: Proposed research must be relevant to education in the United States and must address factors under the control of the U.S. education system, whether at the national, state, local and/or school level. To help ensure such relevance, the Institute requires researchers to work within or with data from authentic education settings. Authentic education settings include both in-school settings and formal programs (e.g., early intervention and early childhood special education, after-school programs, distance learning programs, online programs) used by schools or state and local education agencies. These settings are defined as follows:

- Authentic Education Settings for Infants and Toddlers are defined as:
  - Homes
  - Child care
  - Natural settings for early intervention services
- Authentic Preschool Settings are defined as:
  - Homes
  - Child care
  - Preschool programs
  - Natural settings for early childhood special education services
- Authentic K-12 Education Settings are defined as:
  - Schools and alternative school settings (e.g., alternative schools or juvenile justice settings)
  - Homes provided that the intervention is school-based (i.e., programs must be coordinated through the school or district)
  - School systems (e.g., local education agencies or state education agencies)
  - Settings that deliver supplemental education services (as defined in Section 1116(e) of the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001)  
(<http://www2.ed.gov/policy/elsec/leg/esea02/index.html>)



- Settings that deliver direct student services (under Section 1003A of the Elementary and Secondary Education Act of 1965) (<http://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf>)
- Career and Technical Education Centers affiliated with schools or school systems

Compliant: The part of the process of screening applications for acceptance for review that focuses on compliance with the application rules (e.g., page length and formatting requirements, completion of all parts of the application).

Consultant: An individual who provides professional advice or services for a fee, but not as an employee of the Institution receiving the award. For example, consultants may provide advice or services on statistical analyses.

Development process: The method for developing the intervention to the point where it can be used by the intended end users.

Efficacy study: A study that tests an intervention's beneficial impacts on teacher and/or instructional personnel outcomes and subsequent student education outcomes in comparison to an alternative practice, program, or policy.

Feasibility: The extent to which the intervention can be implemented within the requirements and constraints of an authentic education setting.

Intervention: The wide range of professional development, technology, and practices, programs, and policies that are implemented at the teacher, school, district, or state level to improve teacher and/or instructional personnel outcomes and ultimately student education outcomes.

Malleable factors: Things that can be changed by the education system to improve teacher and/or other instructional personnel outcomes and subsequent student education outcomes.

Reliability: "The degree to which test scores for a group of test takers are consistent over repeated applications of a measurement procedure and hence are inferred to be dependable and consistent for an individual test taker; the degree to which scores are free of random error of measurement for a given group" (AERA, 2014).

Responsive: The part of the process of screening applications for acceptance for review that focuses on responsiveness to the Request for Applications. This screening includes making sure applications (1) are submitted to the correct competition and/or goal and (2) meet the basic requirements set out in the Request for Applications.

Secondary data sets: Data sets that are often generated from nationally representative surveys or evaluations (e.g., <http://nces.ed.gov/pubsearch/licenses.asp>); administrative data from federal, state, or district agencies or from non-public organizations; and/or data from previous research studies.

Student education outcomes: The outcomes to be changed by the intervention. The intervention may be expected to directly affect these outcomes or indirectly affect them through intermediate student or instructional personnel outcomes. There are five types of student education outcomes for this competition. The topic you choose will determine the types of student education outcomes you can study.

- Developmental outcomes: Outcomes pertaining to cognitive, communicative, linguistic, social, emotional, adaptive, functional, or physical development.
- School readiness: Pre-reading, language, vocabulary, early science and mathematics knowledge, and social and behavioral competencies that prepare young children for school.
- Student academic outcomes: The Institute supports research on a diverse set of student academic outcomes that fall under two categories. The first category includes academic outcomes that reflect learning and achievement in the core academic content areas (e.g., measures of understanding and achievement in reading, writing, math, and science). The second category includes academic outcomes that reflect students' successful progression through the education system (e.g., course and grade completion and retention in grade K through 12; high school graduation and dropout; postsecondary enrollment, progress, and completion).
- Social and behavioral competencies: Social skills, attitudes, and behaviors that may be important to students' academic and post-academic success.
- Functional outcomes: Skills or activities that are not considered academic or related to a child's academic achievement; "functional" is often used in the context of routine activities of everyday living and can include outcomes that improve educational results and transitions to employment, independent living, and postsecondary education for students with disabilities.

Validity: "The degree to which accumulated evidence and theory support a specific interpretation of test scores for a given use of a test. If multiple interpretations of a test score for different uses are intended, validity evidence for each interpretation is needed" (AERA, 2014).

## REFERENCES

American Psychological Association, Research Office (2009). *Publications Manual of the American Psychological Association (6th ed.)*. Washington, DC: American Psychological Association.

Individuals with Disabilities Education Improvement Act of 2004, P.L. 108-446, 118 Stat. 2647 (2004).

Elementary and Secondary Education Act of 1965, as amended 2001 P.L. 107-110, 115 Stat. 1425 (2002).

## **ALLOWABLE EXCEPTIONS TO ELECTRONIC SUBMISSIONS**

You may qualify for an exception to the electronic submission requirement and submit an application in paper format if you are unable to submit the application through the Grants.gov system because: (a) you do not have access to the Internet; or (b) you do not have the capacity to upload large documents to the Grants.gov system; and (c) no later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar date before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Institute explaining which of the two grounds for an exception prevents you from using the Internet to submit the application. If you mail the written statement to the Institute, it must be postmarked no later than two weeks before the application deadline date. If you fax the written statement to the Institute, the faxed statement must be received no later than two weeks before the application deadline date. The written statement should be addressed and mailed or faxed to:

Ellie Pelaez, Office of Administration and Policy  
Institute of Education Sciences, U.S. Department of Education  
550 12<sup>th</sup> Street, S.W.  
Potomac Center Plaza – Room 4107  
Washington, DC 20202  
Fax: (202) 245-6752

If you request and qualify for an exception to the electronic submission requirement you may submit an application via mail, commercial carrier or hand delivery. To submit an application by mail, mail the original and two copies of the application on or before the deadline date to:

U.S. Department of Education  
Application Control Center  
Attention: CFDA# (84.324B)  
LBJ Basement Level 1  
400 Maryland Avenue, S.W.  
Washington, DC 20202 – 4260

You must show one of the following as proof of mailing: (a) a legibly dated U.S. Postal Service Postmark; (b) a legible mail receipt with the date of mailing stamped by the U.S. Postal Service; (c) a dated shipping label, invoice, or receipt from a commercial carrier; or (d) any other proof of mailing acceptable to the U.S. Secretary of Education (a private metered postmark or a mail receipt that is not dated by the U.S. Postal Services will not be accepted by the Institute). Note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office. If your application is postmarked after the application deadline date, the Institute will not consider your application. The Application Control Center will mail you a notification of receipt of the grant application. If this notification is not received within 15 business days from the application deadline date, call the U.S. Department of Education Application Control Center at (202) 245-6288.

To submit an application by hand, you or your courier must hand deliver the original and two copies of the application no later than 4:30:00 pm (Washington, DC time) on or before the deadline date to:

U.S. Department of Education  
Application Control Center  
Attention: CFDA# (84.324B)  
550 12th Street, S.W.  
Potomac Center Plaza - Room 7039  
Washington, DC 20202 – 4260

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, DC time), except Saturdays, Sundays and federal holidays.